ISSN 1818-9849



Association of Arab Universities



The Scientific Society of Arab Universities Faculties of Arts

Association of Arab Universities Journal for Arts

A Biannual Refereed Academic Journal

Published by The Scientific Society of Arab Universities Faculties of Arts at Universities Members of AARU

Vol. 7 **No. 2** **1431/2010**

Typesetting and Layout
Majdi Al-Shannaq

Association of Arab Universities Journal for Arts

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Association of Arab Universities Journal for Arts (*AARUJA*) is a biannual refereed academic journal published by the Scientific Society of Arab Universities Faculties of Arts at Universities members of the Association of Arab Universities.

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Subscription Information

Annual subscription rates in Jordan: individuals (JD 3.00), institutions (JD 5.00); outside Jordan: individuals (US $ 7.00), institutions (US $ 10.00) or equivalent.

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L'aspect extralinguistique de l'acte traduisant

Safa Zayed*

Résumé

La plupart des traductologues s'accordent sur le fait que la traduction est un processus qui englobe deux aspects: l'aspect linguistique et l'aspect extralinguistique. Et étant donné que plusieurs études abordent l'aspect linguistique, nous évoquerons dans cet article le peu d'études récentes qui abordent les différences extralinguistiques existant entre le texte original et sa traduction, à savoir:

1. La stylistique comparée qui fut la première filière de la linguistique à invoquer les différences non linguistiques entre le texte original et sa traduction.
2. Le modèle de Jean Delisle (1980) qui conçoit la traduction comme un processus incluant deux langues et un seul savoir culturel partagé par les destinataires du texte original et les récepteurs de sa traduction.
3. Le modèle de Sprová (1991) qui présente la traduction comme une opération où non seulement deux langues sont confrontées, mais aussi deux cultures qui ne donnent pas de façon innée à un terme qu'elles partagent la même acception.

Introduction

Pendant longtemps, la traduction était considérée comme une activité intuitive qui concerne deux langues. On ne savait rien sur le processus qui guide le choix d'un équivalent. On ne savait pas non plus ce qui se passait dans le cerveau du traducteur lors de cette transmission interlinguale qui est la traduction. Mais à partir des années 80, avec l'émergence de la psychologie cognitive, beaucoup de traductologues ont commencé à s'intéresser à l'acte traduisant et ont tenté de lui offrir une enveloppe rationnelle. Plusieurs traductologues se sont mis à analyser cet acte et ont élaboré des modèles du processus de traduction: il s'agit du modèle interprétatif de l'ESIT- surtout les ouvrages de Seleskovitch, Lederer et Delisle - l'analyse de R.T Bell (1991) inspirée par la psycho-linguistique, l'application de Gutt (1991) de la théorie de la pertinence de Serber et Wilson (1986) et le modèle psycholinguistique proposé par Kiraly (1995).

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Tous ces modèles soulignent l'existence d'une étape intermédiaire entre la compréhension et la réexpression, à savoir la «déverbalisation». Cette étape consiste à arriver à la genèse du texte à traduire et de là à le recréer: «Le traducteur doit déchiffrer cette forme qui arrive à son intelligence et à sa sensibilité pour s'approcher autant que possible de la pensée qui se trouve dans la genèse de l'œuvre»[1]. La recréation du traducteur n'est donc qu'un autre type de création. Ces modèles cognitifs définissent la traduction comme un processus de résolution de problèmes: le texte original constitue le problème à résoudre et le texte traduit en est la solution. Le processus de traduction est lui-même un problème parce qu'il n'y a pas un consensus concernant la modalité de traduire. La théorie cognitive tente de résoudre ce problème. En guise d'explication, on exposera ci-dessous le modèle analogue que nous offre Jean Delisle dans **l'analyse du Discours comme méthode de traduction** (1980). Ce modèle révèle l'aspect créatif du processus cognitif de la traduction.

1. Le processus heuristique de la traduction selon Jean Delisle

Jean Delisle (1980) imagine le processus traducteur en cascade. Selon lui, traduire est un processus de création et de choix que l'on évalue et réévalue continuellement: «Le trait le plus spécifique de la traduction humaine est son caractère créateur car ce processus suppose un ensemble de choix préalablement non réglementé»[2]. Pour illustrer ce caractère cognitif de l'activité du traducteur, Delisle propose un modèle du processus de traduction composé de trois étapes. Ces étapes différencient le domaine linguistique du domaine extralinguistique et cette différenciation est présentée chez Delisle comme chez d'autres traductologues sous le terme «niveaux de traduction». Selon sa théorie, la postulation d'une équivalence de traduction se réalise en trois temps: compréhension, reformulation et justification. À chacune de ces étapes correspondent respectivement les sous-opérations suivantes: le décodage des signes linguistiques et la saisie du sens; le raisonnement analogique et la reverbalisation des concepts; l'interprétation à rebours et le choix d'une solution (voir le schéma, page 3)

a. La compréhension

Lors de cette étape, le traducteur cherche à saisir le vouloir dire de l'auteur. La compréhension inclut deux paliers: celui de la saisie du signifié (renvoi au système linguistique) et celui de la saisie du sens (renvoi aux paramètres référentiels).

Le décodage des signes

Il s'agit d'une analyse intra-linguistique qui consiste à dégager le contenu conceptuel des mots par une analyse lexico-grammaticale. Cette analyse étant

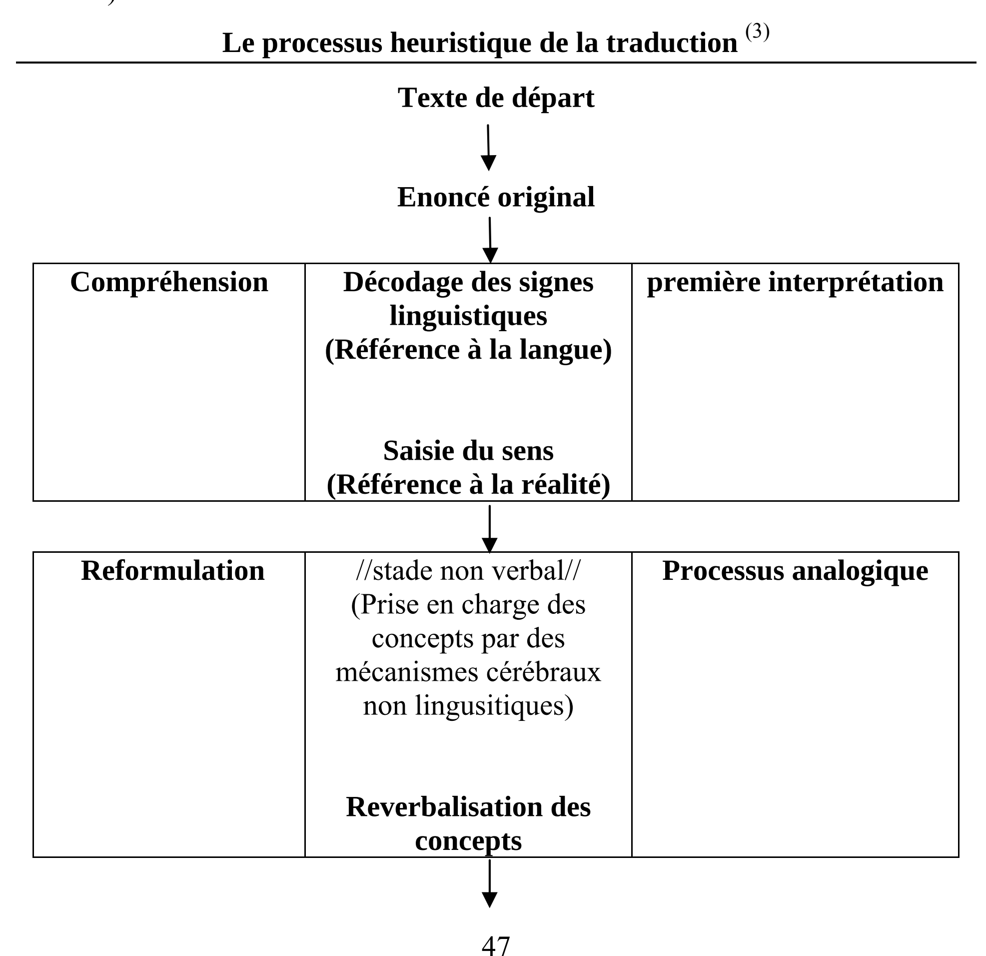
insatisfaisante du point de vue sémantique, on procède à une analyse extralinguistique ou la saisie du sens.

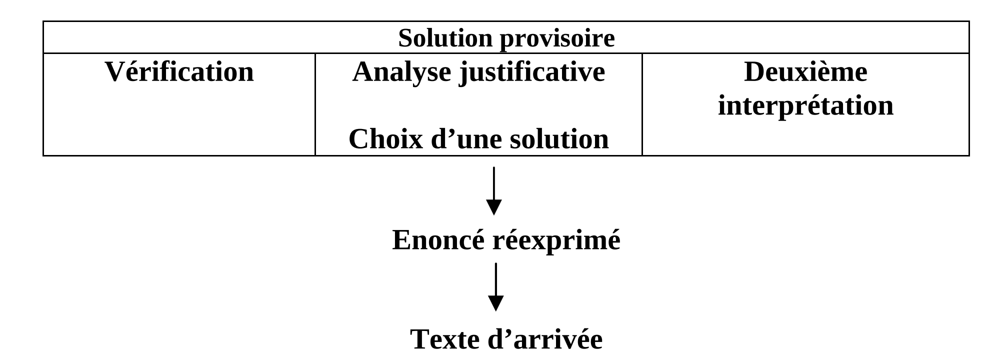
La saisie du sens

Il s'agit d'une analyse contextuelle qui a pour but de définir plus précisément le contour conceptuel de l'énoncé en l'enrichissant du contexte référentiel dans lequel il baigne. Donc, cette analyse jette un pont entre la langue et la réalité.

Ainsi, le terme «mot de passe» qui est fréquemment utilisé en informatique désigne en français un mot, un chiffre ou des lettres qui permettent à un nombre restreint d'utilisateurs d'accéder aux informations, logiciels, vidéos contenus dans un ordinateur (le décodage des signes). Or, en informatique, le but d'un mot de passe est de bloquer l'accès des autres utilisateurs à son poste (la saisie du sens).

Le processus heuristique de la traduction (3)





Solution provisoire		
Vérification	**Analyse justificative** **Choix d'une solution**	**Deuxième interprétation**

Enoncé réexprimé

Texte d'arrivée

b. La reformulation

Il s'agit d'un stade non verbal dans lequel les concepts sont pris en charge par les mécanismes cérébraux non linguistiques. Dans cette étape du processus, les idées isolées déclenchent dans le cerveau du traducteur un raisonnement analogique qui consiste à «procéder à des associations successives d'idées et des déductions logiques» pour aboutir à une solution provisoire. Ainsi, le terme «mot de passe» que nous avons évoqué dans la page précédente déclenche dans le cerveau du traducteur arabophone le terme «كلمة المرور». Mais, la connaissance qu'a le traducteur du domaine de l'informatique l'incite à rejeter cette traduction et à opter pour «كلمة السر», car le mot «سر» rime mieux avec l'idée d'usage exclusif et limité d'un appareil. Donc, la connaissance de ce mot n'est pas à la portée de tout le monde. D'où le mot «سر».

c. La justification

Il s'agit d'une deuxième interprétation «à rebours». La justification est toujours fonction de l'interprétation antérieure à la réexpression et elle suit le même modèle interprétatif. Cette analyse justificative a pour but de vérifier l'exactitude de la solution (provisoire) retenue. Elle consiste à s'assurer que l'équivalent rend parfaitement le sens de l'énoncé initial.

L'activité traduisante comporte donc une double interprétation: la première survient entre la saisie des concepts et leur réexpression; la seconde s'intercale entre la réexpression et le choix d'une solution finale. Le sens est l'unique objet de cette double interprétation. Elle s'exerce sur des segments textuels. Le but à atteindre est la reconstitution d'un texte aussi fonctionnel que l'original du point de vue de la communication. Pour ce faire, le traducteur adapte continuellement les virtualités expressives des mots au cadre cognitif dans lequel s'inscrit le message.

Prenons toujours comme exemple l'expression « mot de passe » pour lequel nous avons retenu provisoirement la traduction «كلمة السر». La première partie de cette solution «كلمة» n'est pas satisfaisante dans la mesure où elle ne rend que partiellement le contenu du terme à traduire (mot de passe). Celui-ci peut être un chiffre ou une association de chiffres et de lettres qui a pour but de restreindre l'accès à un ordinateur ou à une pièce dont l'accès est informatisé. Cette connaissance de la réalité de l'expression «mot de passe» et de ses applications réelles (un **code** limitant **l'accès** à quelque chose) oriente le traducteur vers le terme arabe «شيفرة الدخول» qui rend "fidèlement" le contenu linguistique et culturel de son équiavlent français.

2. L'exégèse lexicale

Nous avons vu que l'interprétation est un dialogue herméneutique intérieur qui s'établit entre le traducteur et le texte original. Ce dialogue exégétique conduit à la compréhension du sens des signes linguistiques. Toutefois, l'analyse exégétique nécessaire à la compréhension et à la réexpression d'une idée n'est pas la même pour toutes les parties du discours. Delisle distingue trois niveaux d'exégèse lexicale:

a. Le niveau zéro ou le «report» des vocables monosémiques

Dans tous les textes à traduire, il y a des éléments d'information qui échappent presque complètement à l'analyse exégétique tels que les noms propres (ex.: Pierre, Sophie, etc.) et la plupart des termes appartenant aux terminologies scientifiques (ex.: kilomètre, gramme, litre, etc.). Les interprètes notent toujours ces mots parce qu'ils sont objet de savoir et non de compréhension.

b. Le 1er niveau ou la «réactivation des formes consignées dans les systèmes linguistiques»

La textologie étudie les textes dans leur relativité et leur individualité: deux énoncés formellement identiques seront considérés comme différents si leur cadre énonciatif n'est pas le même.

A ce niveau, le traducteur isole l'acception contextuelle pertinente d'un mot et tente de trouver dans la langue d'arrivée un vocable utilisé habituellement et spontanément par les usagers de cette langue pour désigner la même réalité dans la même situation de communication.

Ainsi, un français faisant une pause devant une machine de café pourrait choisir un café «long» ou «court», alors qu'un jordanien choisirait «قهوة ثقيلة» ou «قهوة خفيفة». Dans les deux cas, il s'agit d'alléger son café ou de le rendre plus

fort. Le française insiste, dans son expression, sur la quantité d'eau ajoutée au poudre de café tandis que le jordanien pense spontanément à la quantité du poudre de café qu'il faut ajouter à l'eau pour obtenir le goût désiré.

c. Le 2e niveau ou la «recréation contextuelle»

Les équivalences ne sont pas toujours consignées dans la langue d'arrivée; par conséquent, le traducteur ne peut pas tout simplement mettre à profit sa connaissance linguistique pour faire correspondre à l'idée du texte original, une forme collectivement acceptée et consacrée par l'usage en langue d'arrivée. La recréation contextuelle est la seule façon de sortir d'une telle impasse. Elle consiste à procéder à des alliances des mots ou à donner à cert ains termes des acceptions non répertoriées dans le dictionnaire. Il est important d'affirmer qu'il ne s'agit pas d'un cas d'intraduisibilité, mais d'une combinaison de mots dont l'acception est inusitée, inédite et qui exige un surcroît d'effort analytique de la part du traducteur.

Soit cette phrase: «Je vous **désapprouve** d'avoir écrit cet article». La structure habituelle du verbe «désapprouver» est la suivante: désapprouver quelqu'un ou quelque chose. La structure employé dans cet exemple (désapprouver quelqu'un d'avoir fait quelque chose) est moins fréquente et elle n'est pas explicitée dans l'article du dictionnaire consacré à ce verbe (le Petit Robert, 1997). L'analyse de la nature des relations entre les deux parties de la phrase en question a facilité la reformulation d'un équivalent satisfaisant. Il s'agit d'un lien de causalité: le sujet «je» juge l'objet «vous» de manière défavorable et péjorative parce qu'il n'aime pas l'article qu'il a écrit. C'est donc un reproche, d'où l'équivalent que l'on propose: إنني **ألومك** على كتابة هذا المقال

3. L'écart culturel en situation de traduction

L'optique interprétative que l'on vient de voir dans le modèle de Delisle insiste sur la différence entre le savoir linguistique et le savoir extralinguistique. Le processus de la traduction est conçu comme la compréhension du sens exprimé dans le texte de départ et la réexpression de ce même sens dans le texte d'arrivée. Cette compréhension se fait par l'adjonction du savoir qu'a le traducteur des réalités et des objets désignés. Implicitement, cette conception repose sur le présupposé d'une réalité universellement partagée.

Prenons, en guise d'exemple, ce titre: «Le **parrainage**, un soutien pour grandir». Ce titre est extrait d'un article qui fut publié en octobre 2002 dans le magazine *LABEL FRANCE.* Un traducteur arabophone serait amené à traduire le terme «parrainage» par «كفالة» (comme dans «كفالة اليتيم»). Or, cette traduction fait croire au lecteur arabophone que le modèle français du parrainage est

identique à celui de l'arabe qui est d'origine religieuse et lié aux orphelins qu'ils soient dans le même pays ou dans un autre pays arabe. Parrainer à l'arabe est alors une solution financière qui assure à l'orphelin un présent sécurisant et un avenir prometteur. Le parrainage évoqué dans l'article français est une forme de solidarité sociale porté par un couple d'adultes à un enfant en détresse. Le couple accueille l'enfant et le soutient moralement et financièrement. Il le protège si ses parents abusent de lui ou s'ils sont hospitalisés. L'accord des parents ou des représentants légaux de l'enfant est indispensable à la mise en place de ce soutien dont l'objectif est de fournir à l'enfant en détresse un climat familial équilibré. Traduire «parrainage» par «كفالة» prive, comme on vient de le démontrer, le terme français de son contenu culturel. Il induit aussi le lecteur arabophone en erreur car, comme le souligne Cary (1985), la traduction n'est pas seulement la confrontation de deux langues face à une même réalité. C'est aussi le passage d'un univers extralinguistique (une culture) à un autre. «...La traduction est une opération qui cherche à établir des équivalences entre deux textes exprimés en deux langues différentes, ces équivalences étant toujours et nécessairement fonction de la nature des deux textes, de leur destination, des rapports existant entre la culture des deux peuples, leur climat moral, intellectuel, affectif, fonction de toutes les contingences propres à l'époque et au lieu de départ et d'arrivée(...) la distance existant entre deux cultures laisse une empreinte inévitable sur la façon de traduire, bien plus que les rapports purement linguistiques (...) l'étude linguistique reste toujours un préalable, jamais une explication exhaustive de la nature profonde de l'opération»[(4)]. D'où l'intérêt du modèle que propose Milena SPROVA du processus de traduction.

a. Le modèle de SPROVA

Pour rendre compte non seulement des écarts qui existent entre deux langues en situation de traduction, mais aussi des différences entre le savoir partagé par le public de la culture de départ et le savoir partagé par le public de la culture d'arrivée, SPROVA ajoute une étape au modèle interprétatif de Delisle, obtenant ainsi un modèle à quatre étapes:

«1. Identifier dans le texte de départ les formes et les significations linguistiques de la langue de départ (LD).

2. Comprendre le sens du texte original en fonction de la culture de départ (CD).

3. Situer, réinterpréter le sens compris en 2. dans la culture d'arrivée (CA).

4. L'exprimer dans le texte de la langue d'arrivée (LA).»[(5)]

Ce sont les étapes 2. et 3. qui soulignent les différences cognitives (extralinguistiques) qui peuvent exister entre la CD et la CA. Elles témoignent

de l'existence des écarts entre le savoir de la culture de départ et celui de la culture d'arrivée.

Pour illustrer le fossé culturel entre la langue de départ et la langue d'arrivée, examinons cette phrase extraite d'un article publié en 2002 dans *Francoscopie* sur les modes de vie des couple en France: «15 % des français de 18 à 35 ans disent avoir l'intention de conclure un **pacs**». Le pacs est une abréviation du Pacte Civile de Solidarité. C'est un contrat qui permet à deux personnes adultes non apparentées, de sexes différents ou identiques et vivant ensemble de régulariser leur vie en commun. La société française multiplie les modes de vie de couple (mariage, union libre, concubinage, etc.). En revanche, la société jordanienne ne connaît encore qu'une seule forme de vie de couple: le mariage. Et comme le terme «زواج» est consacré comme un équivalent au mot mariage, la seule traduction plausible de ce terme pour un lecteur jordanien serait «المساكنة» qui signifie: réunir deux personnes dans un lien de couple sans déterminer la nature de ce lien (fiançailles, mariage ou autre).

Il est évident que le modèle de SPROVA accorde plus d'importance à l'élément culturel (extralinguistique) que le modèle de Delisle. Il instaure avec ses deux phases de compréhension que le savoir partagé est non universel mais différent d'une culture à l'autre.

b. l'adaptation de la stylistique comparée

Vinay et Darbelnet (1958), pionniers de la stylistique comparée, ont tenté de classer les écarts linguistiques pouvant exister entre un texte original et sa traduction. Ils ont constaté qu'il y a un type d'écart qui n'est pas linguistique. Il s'agit des cas où la situation dans laquelle s'inscrit le message à traduire n'existe pas dans la langue d'arrivée et doit être créée par rapport à une situation que l'on juge équivalente: «plus grande est la divergence entre les cultures des deux langues rapprochées, et plus il est difficile de traduire.»[(6)]. Mais, l'objectif de Vinay et Darbelnet étant la comparaison des langues face à un sens extralinguistique identique, les écarts cognitifs ont été traités par eux de façon marginale et ce à cause de la difficulté de dissocier les faits linguistiques et les faits extralinguistiques. Cependant, il convient de noter que c'est ce traitement des différences extralinguistiques, aussi marginal soit-il, qui a engendré les fameux procédés de traduction de la stylistique comparée. Un procédé de traduction est «une méthode à suivre pour obtenir un résultat»[(7)]. Les procédés de la stylistique comparée sensibilisent aux transformations de la structure de l'unité de traduction: «la conservation des spécificités cognitivo-référentielles de la CD passe par la traduction littérale (et ses deux cas spécifiques (le calque et l'emprunt)) (...) la suppression des spécificités cognitivo-référentielles de la CD

aboutit à une traduction adaptative (l'adaptation)»[8]. C'est donc une analyse et une classification des équivalences étudiées qu'il s'agisse d'équivalences de mots ou d'équivalences de phrases:

- La transposition grammaticale (nom / adjectif).

Ex.: le processus de paix → العملية السلمية

- La modulation (passif / actif)

Ex.: La ministre de la santé est auditionnée par une commission d'enquête du sénat → ستستجوب إحدى لجان التحقيق التابعة لمجلس الشيوخ وزيرة الصحة

Pourtant, ces « procédés » ne sont pas la solution unique aux problèmes rencontrés par le traducteur. En fait, le traducteur peut choisir de maintenir la structure du terme ou de la phrase à traduire. Les exemples ci-dessus mentionnés peuvent se traduire de la façon suivante:

عملية السلام

ستسجوب وزيرة الصحة من قبل إحدى لجان التحقيق التابعة لمجلس الشيوخ

Le traducteur a donc une certaine latitude dans le choix de moyens linguistiques pour la réexpression du message à traduire et ce grâce à la multitude de formulations dont dispose chaque langue pour exprimer une même réalité. Il serait alors faux d'ériger les procédés de traduction de la stylistique comparée en règles absolues de traduction parce qu'ils ne facilitent pas toujours l'analyse de l'unité de traduction; ils donnent une idée claire sur le contenant mais pas sur le contenu. Par exemple, dans le cas de l'étoffement (l'ajout d'un terme pour la fluidité du style), le traducteur sait qu'il doit ajouter un mot par souci de précision (le contenant). Mais ce savoir ne l'aide pas pour autant à préciser de quel mot s'agit il (le contenu). Traduire est un exercice interprétatif et ces dits procédés ne deviennent lucides qu'ultérieurement à l'interprétation (l'élément cognitif du processus de traduction). Prenons,comme exemple, le titre suivant: "Obsèques de la policière tuée: Sarkozy face **au malaise** de la police municipale". Ce titre est extrait d'un article en ligne (www.20minutes.fr, le 26 mai 2010) sur l'assassinat d'une jeune policière marseillaise. L'exemple porte sur la traduction du terme: malaise. Le mot malaise est un mot difficile à cerner; il peut s'agir d'un trouble physiologique, d'un profond sentiment d'angoisse et de tristesse ou d'un simple état d'embarras. Les différents sens ci-dessus cités nous incitent à proposer un équivalent arable composé de deux mots (l'étoffement): l'état ou le sentiment et la nature de cet état ou ce sentiment. Le choix de l'étoffement n'a pas été systématique. Nous ne ne l'avons adopté qu'après avoir consulté le dictionnaire. La forme de l'équivalent arabe proposé est claire (deux

mots). En revanche, le contenu de cette forme ne l'est pas: de quel sentiment s'agit-il? de l'angoisse, de la tristesse ou de l'embarras? La réponse à cette question ne provient pas du procédé de l'étoffement, mais de la lecture et de l'interprétation du texte à traduire:

Obsèques de la policière tuée: Sarkozy face au malaise de la police municipale

Aux premières notes de la Marseillaise, des milliers de policiers portent la main droite à hauteur de tempes. A 15h30, l'heure est venue à Villiers-sur-Marne de rendre un hommage national à Aurélie Fouquet.

Cette jeune policière municipale a été tuée, le 20 mai, dans la fusillade sur l'A4. Nicolas Sarkozy a assisté aux obsèques, accompagné de la garde des Sceaux Michèle Alliot-Marie et du ministre de l'Intérieur Brice Hortefeux.

Après la minute de silence partagée par tous les commissariats et toutes les gendarmeries du pays, le chef de l'Etat s'est placé devant le cercueil enveloppé du drapeau français. Son discours: un hommage solennel à la policière qui «a donné sa vie pour la République» ainsi que quelques mots pour sa famille, «anéantie par le chagrin». ***Dans la foule, un policier municipal dont l'écusson est barré d'un bandeau noir ne peut s'empêcher d'exprimer sa colère:*** *«Dans 10 ou 20 ans, celui qui a fait ça sortira, alors que le fils d'Aurélie a perdu sa mère.»*

Nicolas Sarkozy a assuré que «la police dispose des éléments qui permettront d'interpeller tous les membres de cette bande de lâches assassins». ***Et même s'il a appelé «non pas à la vengeance mais à la justice, le malaise était perceptible dans les rangs****.*

Quelques 2.000 policiers municipaux étaient venus de toute la France «pour exprimer leur solidarité à leurs collègues», souligne une jeune policière d'Orléans. ***Beaucoup ont été choqués par le drame. Pendant la cérémonie, plusieurs jeunes policiers ont d'ailleurs été évacués en civière, ou soutenus par la Croix Rouge jusqu'au poste de secours.***

Mais ils étaient également venus témoigner de leur colère*. «J'ai été secoué par l'acharnement. Quand on voit l'état de la voiture, il est clair que ce n'était pas une balle perdue», souligne un policier d'Emerainville (Val-de-Marne) qui avait déjà «partagé un café ou deux» avec la victime.* ***La police municipale se sent «malaimée» et compte bien demander, jeudi, des moyens de protection supplémentaire à Brice Hortefeux qui reçoit leurs syndicats.***

A l'issue de la lecture de cet article, nous avons pu déterminer que le malaise exprimé dans ce texte était un sentiment pénible et irraisonné d'angoisse

et d'embarras. Les passages en gras justifient cette interprétation qui facilite, d'ailleurs, la traduction du terme "malaise" par: الشعور بالتململ.

Cet exemple démontre que nous ne pouvons pas anticiper la désignation du procédé de traduction à utiliser. Le choix d'un procédé et la rigueur de ce choix dépendent du contexte, c'est-à-dire: la lecture du texte, la consultation du dictionnaire et la documentation sur le sujet à traduire.

Bien que la stylistique comparée souligne l'existence d'un élément cognitif dans le processus de traduction, ses fameux procédés le cour-circuitent. Cela n'empêche que la stylistique comparée reste un excellent instrument d'observation du fonctionnement de deux langues. Elle a le mérite de:

1. faire découvrir la singularité structurale de chaque langue.

Ex.: La dominance de la phrase verbal en français alors qu'en arabe la phrase peut être verbal ou nominal.

2. différencier la façon dont chaque langue découpe la réalité.

Ex.: dans l'expression française « tu me manques », la focalisation porte sur la personne qui suscite cet état affectif. En arabe, la focalisation porte sur la personne qui éprouve ce sentiment:اشتقت إليك

C'est aussi le cas en anglais: I miss you.

Pour toutes ces raisons, la stylistique comparée peut, dans le cadre d'un cours de traduction, servir à:

a. perfectionner la compétence linguistique des apprenants.

b. sensibiliser les apprenants aux techniques de passage d'une langue à l'autre.

c. Les aider à identifier les difficultés qu'il faut surmonter en traduction.

Conclusion

Cet article est une tentative modeste de faire comprendre le processus intellectuel par lequel un message donné est transposé dans une autre langue et ce en tablant sur deux «théories-méthodes» (celle de Delisle et celle de Sprová) qui ont consolidé le statut de la culture comme un élément inhérent à la traduction. Il est stipulé dans ces deux théories que traduire est une activité complexe qui intègre un effort d'accession à la connaissance non partagée par la culture de départ et la culture d'arrivée, engendrant ainsi une typologie de la traduction (les procédés de traduction) pour remédier à cet écart culturel entre le texte original et sa traduction. Mais où se dressent les limites de ces passerelles culturelles? Et quelle culture favoriser? La culture de départ ou la culture

d'arrivée? Favoriser la culture d'arrivée n'enlèverait-il pas au texte original son identité ? Favoriser la culture de départ ne serait-ce une négligence à l'égard des destinataires de la traduction?

Traduire est sans doute une activité «fragile» et défiante qui nécessite de la part du traducteur une vigilance permanente pour livrer une traduction satisfaisante où s'équilibrent langue et culture.

الجانب ما وراء اللغوي لعملية الترجمة

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ملخص

يتفق معظم الباحثين في الترجميات على أن الترجمة عملية ثنائية البعد: بعدها الأول لغوي وبعدها الثاني غير لغوي. وبما أن الكثير من الدراسات قد تناولت البعد اللغوي للترجمة، فإن هذا المقال يتطرق لبعض الدراسات القليلة وحديثة العهد نسبيا التي تناولت الفروق غير اللغوية بين النص الأصلي وترجمته وهي:

1- الأسلوبيات المقارنة التي كانت أول فرع من اللغويات يشير لوجود فروق لا تمت إلى اللغة بصلة مباشرة بين النص الأصلي وترجمته.

2- النموذج الذي وضعه العالم الكندي Jean Delisle في الثمانينات والذي يصنف الترجمة كعملية تنطوي على لغتين وثقافة واحدة يتشاركها متلقي النص الأصلي ومتلقي ترجمته.

3- النموذج الذي وضعته Milena SPROVA في التسعينات والذي يشير بوضوح إلى أن الترجمة عملية لا تقتصر على التباين بين اللغتين المترجم منها والمترجم إليها فحسب، بل وتشمل أيضا التباين بين الثقافتين المترجم منها والمترجم إليها بشأن الكلمة والمفاهيم التي تحملها.

* The paper was received on Sep. 2, 2009 and accepted for publication on June 2, 2010.

Notes

1. Llovet J. : *Traducción es creación*, *Vasos comunicantes*, no. 17, 2000, p.31, cité selon Diana Motoc : *Traduction et création : de la re-création du texte littéraire traduit à la créativité du processus traducteur*, Revue ARCHES, No. 4, 2002.

2. Delisle J. : *L'analyse du discours comme méthode de traduction*, Presse de l'Université d'Ottawa , 1980, p.53.

3. Ibid. p. 85.

4. Cary E. : *Comment faut-il traduire?*, Ballard, Presses universitaires de Lille, 1985, p. 85- 87.

5. Sprová M. : *Typologie des Traductions : traitement des spécificités référentielles dans la traduction*, *Contrastes*, Série A10, Z'éditions, 1991, p. 64

6. Vinay J.-P. et Darbelnet J. : *Stylistique comparée du français et de l'anglais*, Didier, Paris, 1958, p. 260.

7. Delisle J. : *L'analyse du discours comme méthode de traduction*, Presse de l'Université d'Ottawa , 1980, p.88.

8. Sprová M. : *Typologie des Traductions : traitement des spécificités référentielles dans la traduction*, *Contrastes*, Série A10, Z'éditions, 1991, p. 68-69.

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The Arab Journal For Arts Vol. 7 No. 2, 2010, pp. 59-83

Etude contrastive de trois traductions Françaises Contemporaines du Saint Coran

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Abstract

La présente recherche est une étude contrastive entre le français et l'arabe, elle est basée sur l'analyse et la comparaison de trois traductions françaises contemporaines du Coran. Pour des raisons de clarté, nous l'avons divisée en quatre parties: une qui traite le vocabulaire, une deuxième traite la syntaxe, une troisième pour la rhétorique et la dernière montre les influences culturelles sur la traduction. A travers des échantillons tirés de sourates Al.Baqara, Al.Imran, Annissa' et Al.Ma'ida, nous exposons les difficultés mais nous mettons également en lumière les réussites pour arriver à la conclusion qu'il est possible de présenter une traduction française du Coran qui soit conforme aux exégèses musulmanes tout en respectant le génie de la langue et de la culture françaises.

Les mots clés: Coran, exégèse, rhétorique, culture, français, arabe.

Introduction

Le Coran, comme les autres écritures saintes, a suscité l'intérêt des savants, des linguistes et des traducteurs. En 1143, est parue la première traduction latine du Coran. Cette traduction a ouvert la voie vers la traduction dans les langues européennes. La première traduction française a vu le jour en 1647, il s'agit de la traduction de Sieur du Ryer, **L'AlCoran de Mahomet**, sur laquelle s'est basé Alexander Ross qui a réalisé la première traduction anglaise en 1649.

Plusieurs traductions ont suivi: celle d'Antoine Galland en 1646 et 1715, celle de Claude Etienne Savary en 1750, 1788, 1798 et 1821, celle de Kasimirski en 1878, etc. En 1861 Fatma Zaida a publié une traduction dans laquelle elle a utilisé le nom arabe pour désigner Dieu, à savoir **Allah** considérant que le mot français *Dieu* ne couvre pas les qualificatifs musulmans pour la déité qui sont au nombre de 99 et qui ont chacun une valeur sémantique propre. En 1957, Régis Blachère a suivi l'exemple de Fatma Zaida, des traducteurs anglais, russes et allemands l'ont également suivi

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A l'aube du 20ème siècle, de grands efforts ont été déployés et des traductions du sens du Coran sont apparues dans presque toutes les langues du monde; aujourd'hui, nous trouvons par exemple plus de 150 traductions françaises réalisées par des traducteurs de différentes nationalités et de différentes religions dont des arabes et des musulmans. Selon Blachère (1991: 271), l'intérêt pour la traduction du Coran a varié selon les communautés, les langues, les époques et les contextes politico- religieux d'un pays à l'autre ou d'une région à l'autre, si nous prenons le cas de la France, par exemple, nous remarquons que c'est surtout à partir du 17ème siècle que ce livre sacré a commencé à susciter un vif intérêt chez une certaine classe:

«La bonne société et Voltaire».

Les arabes excellaient dans la poésie et la rhétorique; le miracle du prophète Mohammad a été Le Coran, une parole particulièrement éloquente et inimitable aussi bien dans sa forme que dans son contenu, c'est pourquoi toute traduction a été considérée comme une interprétation destinée à faciliter sa compréhension par les musulmans non-arabes. Pendant longtemps, un courant musulman traditionnel n'admettait pas la traduction en se fondant d'une part, sur l'impossibilité de cerner tous les sens du Coran, que seul Dieu connait, et d'autre part, sur l'inimitabilité de sa langue arabe. Selon Trabelsi (2000:401), ce courant n'a pas tout à fait disparu, elle donne comme preuve le livre arabe publié par le tunisien Mahmoud Cha'bane en 1984, qui compare six traductions françaises du Coran, celles de Masson, de Kasimirski, de Mazigh, de Hamidullah, de Blachère et de Grosjean, pour conclure que la traduction de ce texte sacré est impossible. D'après lui, il suffit au traducteur d'en traduire les exégètes qui lui semblent les plus importants, ou les plus plausibles, ou bien d'en écrire lui- même une exégèse en langue étrangère.

Ceux qui étaient opposés à la traduction du Coran disaient qu'une fois traduit, un verset perd sa beauté rhétorique et même sa signification. Pour cette raison, la traduction était considérée *harâm*, c'est- à- dire comme violant les préceptes de l'Islam et par conséquent interdite. Les anciens musulmans avaient l'habitude d'enseigner l'arabe aux musulmans non-arabes. Ainsi, beaucoup de savants musulmans comme Ibn Kaṯîr, A-l Kurtubi, Al- Zamaḫšari, Al- Tabari, etc. ont essayé de proposer leur interprétation. Selon ces exégètes, l'homme n'est pas parfait alors que le Coran est parfait et de valeur universelle. Il n'est donc pas possible pour un homme de saisir pleinement les paroles de Dieu. D'autre part, le Coran présente une sorte de polyvalence sémantique; par conséquent, toute interprétation refléterait la compréhension et le point de vue de l'interprète.

I- Caractéristiques du texte coranique

Le discours coranique se caractérise par des traits culturels et linguistiques spécifiques: Nous notons par exemple un changement fréquent du temps du verbe du passé au présent et vice versa; il y a également un changement de la personne et du genre comme dans le verset 11 de sourate **Aṭ-Ṭalâq:**

"ومن يؤمن بالله ويعمل صالحا يدخله جنَات تجري من تحتها الأنهار خالدين فيها أبدا قد أحسن الله له رزقا"

«Et quiconque croit en Allah et fait le bien, il le fait entrer aux jardins sous lesquels coulent les ruisseaux, pour y demeurer éternellement. Allah lui a fait une belle attribution»[(1)]

Au début du verset, il s'agit de la troisième personne du singulier, au milieu, de la troisième personne du pluriel et à la fin de la troisième personne du singulier; le verbe est au présent au début du verset et à la fin, il est au passé. Le Coran a aussi des particularités rhétoriques, linguistiques et rythmiques, ce qui constitue un défi pour les traducteurs.

Abdul Raof (2003:93) cite Guillaume qui considère que le Coran est l'une des œuvres classiques du Monde qui ne peut être traduite sans une grande perte. En effet, le Coran ne revêt pas l'uniformité de style que l'on connait dans d'autres livres car il a été formulé de façon à éviter la monotonie dans une belle langue: souvent, les mêmes thèmes sont traités dans différents versets mais de différentes manières avec toujours de nouveaux aspects rhétoriques et rythmiques; il s'agit de l'unicité de Dieu, de ses attributs, du dernier jour, de la vie du prophète Mohammad, des piliers de l'Islam, etc.

En général, les traducteurs sont influencés par leurs propres cultures et croyances et ils se concentrent sur les aspects linguistiques et le sens apparent au lieu de mener des recherches sur les raisons de la révélation et les exégèses accréditées. Il y a, en effet, des versets dont le sens est évident et d'autres dont le sens est implicite; il faut donc maitriser la rhétorique arabe de l'époque pour bien cerner le sens caché des versets où il y a des ellipses et des particularités syntaxiques comme l'emphase ou l'inversion. Un exemple de verset implicite est l'ensemble de lettres au début de certaines sourates comme **Alif, lâm mîm** dont le sens réel est inconnu, il va de soi que ces lettres n'ont aucun sens littéral.

II-Equivalence dans la traduction Arabe/français et méthodes adoptées pour la traduction du Coran

Selon Guidère (2005:11) «pour les traductologues, l'équivalence est par définition asymétrique parce qu'elle porte sur des langues différentes et qu'elle

vise une correspondance de sens et de fonction et non pas de forme et de structure; c'est le traducteur qui fait l'équivalence (…) Il est important de noter ici que le concept d'équivalence se rapporte en traductologie, à la pratique langagière, c’est-à-dire à un élément équivalent sur le plan du discours (de la pratique) et non pas à la langue (c’est-à-dire du système en général)».

Au niveau du lexique, l'équivalence entre les termes de deux langues peut-être unique, un mot de la langue cible pour un mot de la langue source, multiple, plusieurs mots de la langue cible pour un seul mot de la langue source ou partielle, c'est- à-dire que le mot de la langue cible couvre une partie seulement des traits sémantiques que couvre le mot de la langue source.

Au niveau textuel, on rencontre des équivalences textuelles portant sur la structure d'ensemble et la cohésion générale; au niveau de la communication, on constate la présence d'équivalences fonctionnelles portant sur certains types de textes et certains effets ainsi que des équivalences interprétatives portant sur la dimension cognitive de la communication inter-linguistique. Au niveau extralinguistique, on constate l'existence d'équivalences culturelles qui reflètent la nature de chaque culture. Les théoriciens distinguent clairement les correspondances potentielles, qui renvoient au niveau de la langue et du dictionnaire bilingue, des équivalences effectives qui concernent le niveau des textes et qui renvoient à des réalisations discursives considérées en contexte. Par conséquent, aujourd'hui, on définit l'équivalence au niveau intertextuel et non pas au niveau inter-linguistique. Selon Guidère, les nouvelles orientations de la linguistique et de la sémiotique conduisent à redéfinir l'interprétation traductologique et à la considérer comme un acte de cognition qui passe par un processus comparatif et déductif des équivalences possibles (2005:16): "Tout acte de traduction est une transaction difficile entre la compétence du traducteur et le contenu effectif d'un texte donné. Entre l'inaccessible intention de l'auteur, son vouloir-dire et la discutable intention du lecteur- traducteur, son interprétation, il y a cohérence générale du texte qui réfute toute traduction inadéquate ou inaccessible".

La question de savoir si les unités de traduction doivent être définies en référence à la syntaxe ou à la sémantique a longuement été débattue par les spécialistes. En effet, le débat porte essentiellement sur l'opposition entre la traduction mot-à-mot et la traduction sens-à- sens, autrement dit, entre la littéralité et l'interprétation. Mais il a été clairement établi dans les deux cas que les unités étaient souvent asymétriques entre les deux langues comparées.

Guidère (2005:17), introduit la notion d’équivalence possible: «La notion d’équivalence possible est utile pour une réflexion sur la traduction car elle aide à décider de quel sens le traducteur se soucie dans son travail et ce qu’il veut

transmettre à travers le langage. Mais il faut être conscient d'un fait: parmi les traductions possibles, il y a des traductions *incontournables*, des traductions *invraisemblables* et des traductions *inacceptables*».

Temps et Aspect entre l'Arabe et le Français

En arabe littéral, les principales distinctions dans l'étude du verbe sont aspectuelles et non pas temporelles, mais elles sont souvent traitées comme différences de temps quand on compare l'arabe à une langue comme le français. **Al Mudâre'** arabe, considéré en général comme équivalent au présent français, signifie " qui ressemble au nom" (Blachère, 1984:36).

En effet, les linguistes utilisent aujourd'hui l'opposition Accompli / inaccompli pour désigner l'opposition entre le **Mâdi** et le **mudâre**' arabes, ce qui est une opposition aspectuelle concernant la continuité ou la non-continuité d'une action (Blachère, 1984)

Nida (1964:198/199) indique que le temps marque le temps relatif des événements, en revanche, l'aspect montre la nature de l'action. Bien sûr, l'opposition temps/aspect diffère d'une langue à l'autre et plus particulièrement quand il s'agit de langues qui appartiennent à des familles linguistiques très différentes comme l'arabe et le français. Ainsi, il n'y a pas d'équivalence parfaite entre deux langues. En effet, les contrastes temporels en arabe sont moins systématiques qu'en français, c'est-à-dire qu'ils ne sont pas clairement marqués par des formes du verbe comme c'est le cas en français, mais ils sont exprimés à l'aide de formes verbales de base auxquelles s'ajoutent des particules ou des expressions adverbiales et c'est surtout le contexte qui permet de situer l'action dans son temps et aspect effectifs, d'où la nécessité de bien saisir le contexte d'énonciation pour cerner les nuances temporelles et aspectuelles de l'arabe et les rendre correctement tout en respectant le génie du français.

Les traducteurs du Coran adoptent des méthodes variées, certains se contentent de la traduction, d'autres accompagnent leurs traductions d'une étude introductive sur l'Islam, la vie du prophète Mohammad, les conditions de la révélation et les différentes exégèses pour donner au lecteur une idée sur la difficulté de traduire ce texte arabe sacré. Leur objectif est de préparer le lecteur non musulman et non arabophone à recevoir un texte qui n'est pas authentique- ce n'est qu'une traduction du texte sacré- et dont il est également impossible de cerner et de traduire tous les sens, quelles que soient les compétences de l'exégète et du traducteur.

Ils n'ont pas suivi la même démarche linguistique. Certains, ont, en effet, préféré être fidèles à la langue arabe de ce livre sacré et l'ont annoncé dans leur introduction, et ce, afin de donner au lecteur français, une idée sur le fond mais

également sur la forme arabe sacrée. Nous signalons à ce sujet la traduction de Jacques Berque (1991 et 2002) dans laquelle il s'explique longuement sur les choix techniques qu'il avait faits pour traduire le Coran d'une manière sémantique et poétique. Il a cherché surtout à rendre la beauté du texte arabe du Coran dans un style fluide et rythmé. D'autres ont privilégié le sens plutôt que la forme. Il s'agit donc de deux différents types de traduction.

III-Etude du Corpus

La présente étude essaie d'examiner trois traductions contemporaines: une réalisée par Denise Masson, publiée en 1959, rééditée en1980 et en 1989 par la Société **Ad-da‘wa Al-Islamiyya** en Libye. La deuxième traduction représente un travail de collaboration entre Muhammad Hamidullah et Michel Léturmy, elle a été publiée d'abord en 1908 et a été rééditée plusieurs fois, la version que nous avons étudiée est publiée en 1989 par Amana Corporation aux Etats-Unis.

La troisième, enfin, représente un travail collectif réalisé par la Présidence Générale des Directions des Recherches Scientifiques Islamiques, de **l'Ifta'**, de la Prédication et de l'Orientation Religieuse en Arabie Saoudite. Elle a été éditée en 1405 de l'Hégire (1985) par les imprimeries du Complexe du Roi Fahd. Cette traduction est basée sur celle de Hamidullah[2]

Notre corpus est constitué d'exemples tirés essentiellement des sourates **Al-Baqara**, **Al -‘Imrân, An-nisâ' et Al- Mâ’ida**, qui sont prises comme échantillon représentatif des trois traductions. Nous faisons également référence à d'autres sourates, notamment lorsqu'il s'agit de la rhétorique coranique.

Tout en étant conscient que la texture du Coran est un ensemble cohérent et que les difficultés et les erreurs en traduction sont dues à des facteurs variés, linguistiques et extralinguistiques qui, très souvent, s'entremêlent, nous essayons néanmoins et ceci pour des raisons de clarté, de les classer en quatre grandes classes: Deux linguistiques (lexique, syntaxe, sémantique et pragmatique), une sur la rhétorique (comparaison, métonymie, etc.) et une quatrième sur les influences culturelles.

Analyse linguistique

A- Erreurs dues à une mauvaise compréhension du vocabulaire

1- Le verset 197 de sourate Al- Baqara: "و لا فسوق ولا جدال في الحج"

« Point de perversité, point de dispute pendant le pèlerinage »

Selon les exégètes Ibn Kaṯîr et Al Jalâlayn[3], le mot **Fusûq** signifie **Ma‘âṣi** comme la chasse pendant la période du pèlerinage. Masson a traduit ce mot par

Libertinage, qui est loin du sens avancé par les exégètes. Hamidullah et Fahd ont utilisé le mot **Perversité** qui est plus général que **Libertinage.**

2- Le verset 258 de sourate Al- Baqara:

«Allah ne guide pas les gens injustes"والله لا يهدي القوم الظالمين"

Masson a traduit **Yahdi** par le verbe **diriger** qui signifie mener en général, vers le bon ou le mauvais sens mais la traductrice a précisé que dans sa traduction, ce verbe signifie toujours mener vers le droit chemin. Hamidullah et Fahd ont utilisé **guider** vers le bon chemin, ce qui est plus précis.

3- Le verset 282 de sourate Al- Baqara:

"و ليكتب بينكم كاتب بالعدل"

«et qu'un scribe l'écrive, entre vous, en toute justice»

Ce verset concerne les prêts, il s'agit de noter les dettes par écrit.

Masson a donné une traduction erronée en utilisant le mot **écrivain** au lieu de **Scribe**, que Fahd et Hamidullah ont judicieusement choisi. En effet, le mot arabe **Kâtib** est polysémique, d'où la confusion chez Masson.

4- Le verset 151 de sourate Al- 'Imrân:

"سنلقي في قلوب الذين كفروا الرعب بما أشركوا بالله ما لم ينزل به سلطانا"

«Nous allons jeter l'effroi dans les cœurs des mécréants. Car ils ont associé à Allah (des idoles) sans aucune preuve descendue de sa part»

Le sens exégétique de **sultân** est **preuve.**

Masson et Hamidullah ont confondu les polysèmes en traduisant **Sultân** par **Pouvoir** et **autorité,** respectivement. Toutes les deux traductions sont littérales tandis que Fahd a donné la bonne traduction. Nous rappelons ici que Fahd s'est basé sur la traduction de Hamidullah et il l'a améliorée; d'autre part, la traduction de Fahd est l'œuvre de toute une équipe de spécialistes.

5- Le verset 154 de sourate Al- 'Imrân:

"قل لو كنتم في بيوتكم لبرز الذين كتب عليهم القتل الى مضاجعهم"

«Dis: «Eussiez-vous été dans vos maisons, ceux pour qui la mort était décrétée seraient sortis pour l'endroit où la mort les attendait»

Kutiba est le passif de verbe **Kataba**, il désigne le sort ou le destin.

Al Qatl désigne la mort. Il s'agit de mourir à la guerre, c'est-à-dire que la mort aurait atteint ceux dont le destin était de mourir.

Masson a donné une traduction littérale en confondant les polysèmes, c'est-à-dire qu'elle a rendu **Kutiba** par le passif français de verbe écrire, soit **écrit** et **Al Qatl** par **le meurtre**. Hamidullah a utilisé **prescrit** et **meurtre**, et Fahd a utilisé **décrété** pour rendre **Kutiba** et **la mort** pour **Al Qatl.**

6- Les versets 191 et 217 de sourate Al- Baqara:

«L'association est plus grave que le meurtre" " والفتنة أشد من القتل"

" والفتنة أكبر من القتل "

Le mot **Al Fitna** apparaît dans plusieurs versets et il signifie **l'idolâtrie** ou l'association d'autres dieux à Allah comme dans ces deux versets. Dans d'autres versets, il signifie la **dissension** ou la **sédition.**

Masson et Hamidullah ont traduit **Al Fitna** par **Séditio**n et **Persécution**, quant à Fahd, il l'a traduit par **l'association** d'autres dieux à Allah, ce qui correspond à Tafsîr Al Jalâlayn de ces deux versets.

7- Le verset 34 de sourate An-nisâ':

" واللاتي تخافون نشوزهن فعظوهن..... "

«Et quant à celle dont vous craignez la désobéissance, exhortez-les,….. »

Selon l'exégète Ibn Kaṯîr, une femme **Nâšiz,** est une femme hautaine qui n'obéit pas à son mari. Masson et Hamidullah ont traduit **Nušûz** par **infidélité,** tandis que Fahd a choisi la **désobéissance.**

Il est à noter que **Nušûz** de la part de l'homme vis-à-vis de sa femme désigne l'indifférence comme le montre le verset 128 de la même sourate:

" وان امرأة خافت من بعلها نشوزا أو اعراضا "

«Et si une femme craint de son mari abandon ou indifférence..»

8- Le verset 262 de sourate Al- Baqara:

" الذين ينفقون أموالهم.........ثم لا يتبعون ما أنفقوا منًا ولا أذى "

«Ceux qui dépensent leurs biens dans le sentier d'Allah sans faire suivre leurs largesses ni d'un rappel ni d'un tort»

Le même mot apparaît dans les versets 263 et 264.

Mannan signifie rappeler à quelqu'un une faveur qu'on lui a rendue.

Masson a donné une traduction erronée **Reproche**, tandis que Fahd et Hamidullah l'ont rendu par **Rappel,** ce qui est correct; Fahd ajoute une note qui précise que rappeler à quelqu'un le bien qu'on lui a fait en annule le mérite si c'est dans le dessein de se vanter, comme le montre le verset 264:

" يا أيَها الّذين آمنوا لا تبطلوا صدقاتكم بالمنَ والأذى"

«Ô les croyants! N'annulez pas vos aumônes par un rappel ou un tort…»

9- Le verset 201 de sourate Al- Baqara: "وقنا عذاب النار "

«et protège-nous du châtiment du feu!»

Dans les trois traductions, le mot **'adâb**, **douleur**, a été traduit par **Châtiment**.

Peut-on dire que la souffrance est due au fait de mériter le châtiment d'être jeté en enfer?

10- Le verset 31 de sourate Al- Mâ'ida:

"يا ويلتي أعجزت أن أكون مثل هذا الغراب فأواري سوءة أخي فأصبح من النادمين"

«Il devint alors du nombre de ceux que ronge le remords»

Masson a traduit **Annadimîne** par **ceux qui se repentent,** or **se repentir** est l'équivalent de **Yatûb** en arabe mais dans ce verset, il s'agit de regretter, d'où les traductions de Fahd:

" **le remords**" et de Hamidullah: **" ceux qui regrettent".**

B- Questions de syntaxe et de pragmatique

Il s'agit ici d'expressions maladroites qui sont dues à une mauvaise compréhension de la syntaxe arabe et surtout du style coranique. Ces erreurs sont nombreuses, en particulier dans la traduction de Masson. Nous en donnons quelques exemples:

1-Le verset 216 de sourate Al- Baqara:

"وعسى أن تكرهوا شيئا وهو خير لكم"

«**Or, il se peut que vous ayez de l'aversion pour une chose alors qu'elle vous est un bien**»

Masson a traduit **Wa** par **et.** En effet, dans la deuxième partie de la phrase, **Wa** véhicule l'idée de concession, il faudrait donc le traduire par **cependant** ou **alors que**, ce que Hamidullah et Fahd ont fait.

2-Le verset 104 de sourate Al- Mâ'ida:

" أو لو كان آباؤهم لا يعلمون شيئا ولا يهتدون "

«Quoi! Même si leurs ancêtres ne savaient rien et n'étaient pas sur le bon chemin..?»

Masson a traduit **Yahtadûn** par le passif de verbe **diriger**: "Ils ne sont pas **dirigés"** Ce qui n'est pas réussi**.** En effet, Le **mudâre'** arabe donne l'idée du nom ou de l'adjectif et dans ce verset, **La Yahtadûn** désigne ceux qui ne sont pas sur la bonne voie. D'autre part, **diriger** est un verbe transitif qui nécessite un complément d'information pour expliquer l'idée d'être dirigé vers le droit chemin. C'est pourquoi Hamidullah et Fahd ont réussi cette traduction en évitant les verbes **diriger** et **guider**, ils ont plutôt utilisé le verbe **être: (être sur l bon chemin).**

3-Le verset 105 de sourate Al- Mâ'ida:

"....... اذا اهتديتم الى الله مرجعكم جميعا فينبؤكم بما كنتم تعملون "

«C'est vers Allah que vous retournerez tous; alors il vous informera de ce que vous faisiez»

Masson n'a pas traduit la conjonction arabe **Fa** qui signifie **alors** ou **à ce moment là**. Hamidullah l'a traduit par **puis** et Fahd par **alors.**

4-Le verset 52de sourate Al- 'Imrân:

"فلمّا أحسّ عيسى منهم الكفر قال من أنصاري الى الله قال الحواريّون نحن أنصار الله "

«Puis, quand Jésus ressentit de l'incrédulité de leur part, il dit: Qui sont mes alliés dans la voie d'Allah? Les apôtres dirent: Nous sommes les alliés d'Allah»

Il s'agit ici de commenter la traduction de la préposition **Ila** dans **Ila l-lâh** et **Ansâr il-lâh.**

Hamidullah l'a traduit par **mes secoureurs en Dieu**, c'est-à-dire qu'il a rendu **Ila** par **en**, ce qui est correct. En revanche, dans la deuxième partie du verset, il a donné une traduction littérale de **Ansâr il-lâh** avec **Nous sommes les secoureurs de Dieu.** Fahd a été plus explicite dans la première partie et a évité

la confusion dans la deuxième partie en recourant au mot **alliés.** C'est un exemple typique du Coran qui montre que les difficultés s'entremêlent et que l'on ne peut pas séparer la syntaxe du vocabulaire ou de la pragmatique; il ne faut pas perdre de vue, non plus, l'exégèse car lorsqu'on connaît l'interprétation accréditée, on peut procéder à une traduction qui rend le sens tout en respectant la syntaxe de la langue française.

5-Le verset 119 de sourate Al- Mâ'ida:

"قال الله هذا يوم ينفع الصادقين صدقهم لهم جنات تجري من تحتها الأنهار خالدين فيها أبدا رضي الله عنهم ورضوا عنه ذلك الفوز العظيم "

«Allah dira: Voilà le jour où leur véracité va profiter aux véridiques, ils auront des jardins sous lesquels coulent les ruisseaux pour y demeurer éternellement: Allah les a agréés et eux L'ont agréé. Voilà l'énorme succès»

Les trois traducteurs ont utilisé trois temps différents pour rendre le **Mâdi** arabe dans **Raḍiya** et **Wa raḍû:** Masson a utilisé le présent, Hamidullah le futur et Fahd le passé composé. Selon Blachère (1984: 247), «l'accompli, dans les verbes exprimant un désir, une volonté, une décision, une constatation, une sensation ou un sentiment, rendu en français par un présent, n'équivaut nullement à un présent- futur, mais énonce le résultat actuel d'une série d'opérations psychologiques ou physiologiques qui se sont déroulées dans le passé ».

Il s'agit dans ce verset du dernier jour, les croyants seront récompensés par Dieu pour leurs bonnes actions (passées) sur terre, ils seront admis au paradis, et satisfaits de cette récompense.

Masson a donné une traduction très littérale, elle n'a pas traduit ni la causalité- ils sont satisfaits de leur récompense- ni le temps des actions: " Dieu est satisfait d'eux. Ils sont satisfaits de lui "

Hamidullah: " Dieu les agréera, et eux, l'agréeront."

Fahd: " Allah les a agréés et eux L'ont agréé."

Nous proposons la traduction suivante avec le futur antérieur et le futur simple:

"Dieu les aura agréés et ils seront satisfaits de leur récompense"

6- Le verset 261 de sourate Al-Baqara:

"مثل الّذين ينفقون أموالهم في سبيل الله كمثل حبّة أنبتت سبع سنابل في كل سنبلة مائة حبّة والله يضاعف لمن يشاء والله واسع عليم "

«Ceux qui dépensent leurs biens dans le sentier d'Allah ressemblent à un grain d'où naissent sept épis, à cent grains l'épi. Car Allah multiplie la récompense à qui Il veut et la grâce d'Allah est immense, et Il est omniscient»

Selon l'exégète Ibn Kaṯîr, **Wâsi'un** se réfère aux faveurs de Dieu qui sont grandes et **'Alîm** (omniscient) signifie que Dieu sait qui mérite ses dons.

Masson et Hamidullah ont donné une traduction littérale:

Masson: " Dieu est présent partout et il sait"

Hamidullah: " Dieu est immense, il sait"

La proposition **Il sait** nécessite un complément d'information car verbe **savoir** est transitif. En revanche, Fahd a donné une traduction explicite qui correspond à l'exégèse:

" Et la grâce d'Allah est immense et il est Omniscient "

7- Le verset 158 de sourate Al-'Imrân "و لئن متّم أو قتلتم لألى الله تحشرون"

«**Que vous mouriez ou que vous soyez tués, c'est vers Allah que vous serez rassemblés»**

Nous avons ici **la** qu'on appelle en arabe **lâm At-TAwkîd,** qui sert à confirmer une action, il joue alors le rôle des adverbes de modalisation en français comme *sûrement, sans doute, etc.* Masson l'a traduit par **certainement** qui n'est pas assez fort, Hamidullah et Fahd ont utilisé l'emphase **C'est….que** et Hamidullah a ajouté **oui** pour mieux confirmer l'idée:

« Que vous mouriez ou que vous soyez tués, oui, c'est vers Dieu que vous serez rassemblés»

8- Le verset 6 de sourate Al- Baqara:

"إنّ الذين كفروا سواء عليهم أأنذرتهم أم لم تنذرهم لا يؤمنون"

«Certes les infidèles ne croient pas, cela leur est égal, que tu les avertisses ou non: ils ne croiront jamais»

L'expression **Allaḏîna Kafarû** renvoie à l'adjectif ou au nom **Al Kuffâr, les Mécréants.** Selon Blachère (1984:247) Quand il s'agit de faits constatés, acquis

définitivement, l'arabe emploie l'accompli; de là l'utilisation de cet aspect verbal dans les maximes, les sentences:

Alla fut (= est) Omniscient" "انّ الله كان عليما "

Hamidullah a traduit **Allaḏîna Kafarû** par le verbe **mécroire** au présent, pour montrer qu'il s'agit d'un fait acquis: **ceux qui mécroient**, quant à Fahd, il a utilisé le nom **les infidèles**, ce qui est plus précis.

9- Les versets 8 et 9 de sourate Al- Baqara:

" ومن النّاس من يقول آمنّا بالله وباليوم الآخر وما هم بمؤمنين. يخادعون الله والّذين آمنوا وما يخدعون الاّ أنفسهم وما يشعرون"

«Parmi les gens, il y a ceux qui disent: Nous croyons en Allah et au jour dernier tandis qu'en fait, ils n'y croient pas. Ils cherchent à tromper Allah et les croyants; mais ils ne trompent qu'eux-mêmes, et ils ne s'en rendent pas compte»

Hamidullah:" tandis qu'ils ne sont pas croyants."

Fahd:" tandis qu'en fait, ils n'y croient pas."

Allaḏîna âmanû désigne un état, d'où la traduction de Fahd par **les croyants**.

En revanche, Hamidullah a donné une traduction littérale avec le passé composé de verbe **croire:**«Ils cherchent à tromper Dieu et ceux qui **ont cru**, mais ils ne trompent qu'eux-mêmes et ils sont inconscients».

Inconscients est général; la traduction de Fahd est plus précise et elle serait encore meilleure si on remplaçait **et** par **sans** à la fin du verset pour donner: **Sans s'en rendre compte**.

10- Les versets 49 et 50 de sourate Al- 'Isrâ':

"وقالوا أإذا كنّا عظاما ورفاتا أإنّا لمبعوثون خلقا جديدا. قل كونوا حجارة أو حديدا"

«**Et ils disent: Quand nous serons ossements et poussière, serons-nous ressuscités en une nouvelle création? Dis: Soyez pierre ou fer»**

Fahd et Hamidullah ont traduit le verset souligné par l'équivalent littéral:

"Dis: Soyez pierre ou fer"

En effet, l'impératif arabe a la valeur d'une proposition conditionnelle:

"Même si vous étiez de pierre ou de fer", la principale étant implicite:

"vous seriez tout de même ressuscités"

Bien sûr, c'est le contexte qui montre le sens: nous savons que les infidèles doutent de la résurrection.

C- La rhétorique et la stylistique

Selon Abdul. Raof (1999: 37), Certains textes comme celui du Coran, présentent des éléments de cohérence linguistiques et rhétoriques qui sont imbriqués les uns dans les autres et qui constituent la pierre angulaire de la texture coranique; ils ont un but rhétorique précis: réaliser une interaction communicative et des effets esthétiques spéciaux. Ainsi, il n'est pas toujours possible de rendre les rimes ou les tropes dans des langues très différentes de l'arabe.

A cet égard, le traducteur doit choisir, soit il donne la priorité au contenu soit à la forme, dans ce dernier cas, il risquerait de ne pas rendre le sens. Nous donnons ci- après des exemples:

1- Des métaphores, par exemple le verset 154 de sourate Al- A‘râf:

"ولمّا سكت عن موسى الغضب أخذ الألواح وفي نسختها هدى ورحمة للّذين هم لربّهم يرهبون"

«**Et quand la colère de Moïse se fut calmée, il prit les tablettes. Il y avait dans leur texte guide et miséricorde à l’intention de ceux qui craignent leur Seigneur**»

La métaphore: **Sakata ‘an Mûsa L-ğaḍabu** a été perdue dans les traductions de Fahd et Hamidullah, qui ont donné une traduction du sens: «Et quand la colère de Moise **se fut calmée**». Or en arabe, la colère est comparée à un être humain qui se tait.

2- Le verset 4 de sourate Mariam:

"قال ربّي انّي وهن العظم منّي واشتعل الرّأس شيبا"

«**Et dit: O mon Seigneur, mes os sont affaiblis et ma tête s’est enflammée de cheveux blancs**»

Hamidullah: «Oui, et ma tête s'allume de Blancheur».

Fahd:«et ma tête s'est enflammée de cheveux blancs».

Il est courant dans la poésie arabe de comparer les cheveux blancs au feu commedans les vers suivants cités par Ibn Kaṯîr:

" أما ترى رأسي حاكى لونه حرّة صبح تحت أذيال الدّجى

واشتعل المبيض في مسودة مثل اشتعال النّار في جمر الغضا".

Nous pensons, en effet, que Hamidullah et Fahd ont tous les deux, réussi à garder l'image du feu tout en respectant le génie de la langue française, l'un en utilisant verbe **S'allumer** et l'autre verbe **S'enflammer**, les cheveux blancs sont comparés aux flammes du feu qui brillent; nous pensons ici à l'expression française: **Chauffer à blanc.**

3- L'oxymore dans les versets 5 et 6 de sourate Aš-Šarḥ:

"فانّ مع العسر يسرا، انّ مع العسر يسرا"

«**A côté de la difficulté est, certes, une facilité**»

En français, il est possible de garder les rimes en utilisant les mots **difficulté et facilité**, ce qu'on trouve dans les traductions de Fahd et de Hamidullah, mais la répétition a un effet stylistique qui est perdu dans la traduction.

4- L'hyperbole dans le verset 40 de sourate Al- A'râf:

"انّ الّذين كذّبوا بآياتنا واستكبروا عنها لا تفتّح لهم أبواب السّماء ولا يدخلون الجنّة حتّى يلج الجمل في سمّ الخياط وكذلك نجزي المجرمين"

«Pour ceux qui traitent de mensonges Nos enseignements et qui s'en écartent par orgueil, les portes du ciel ne leur seront pas ouvertes, et ils n'entreront au Paradis que quand le chameau pénètre dans le chas de l'aiguille. Ainsi rétribuons-nous les criminels»

Hamidullah: «et point n'entreront au paradis, que le chameau **n'ait** pénétré dans le chas de l'aiguille. Ainsi payons-nous les criminels».

Fahd: «et point n'entreront au paradis que quand le chameau pénètre dans le chas de l'aiguille. Ainsi rétribuons-nous les criminels». Tous les deux ont gardé l'image qui est typiquement arabe puisqu'on parle du chameau, animal du désert et symbole de la grande taille. Peut-on dire que le natif français saisit parfaitement cette image? N'oublions pas que certains traducteurs cherchent à donner au lecteur une idée sur les images arabes.

On peut dire que Hamidullah est plus précis que Fahd car il a utilisé le subjonctif français qui exprime l'invraisemblable, c'est-à-dire que le chameau ne pourrait jamais entrer dans le chas de l'aiguille.

5- Les versets 41 et 42 de sourate Aḏ-ḏariyât:

"وفي عاد إذ أرسلنا عليهم الرّيح العقيم. ما تذر من شيء أتت عليه الاّ جعلته كالرّميم"

«De même pour les ‘Aad, quand Nous envoyâmes contre eux le vent dévastateur n’épargnant rien sur son passage sans le réduire en poussière»

Selon Ibn Kaṯîr **Ar-rîḥ Al ‹aqîm** est un vent qui détruit et ne produit rien.

Fahd a traduit l'image par une expression française consacrée, à savoir un **vent dévastateur**, tandis que Hamidullah a gardé l'image de l'arabe: «un vent stérile qui ne laissait chose aucune sur quoi il passait sauf à la rendre cariée». Nous pensons, en effet, que le verset 42 explicite le sens de **‹aqîm**

6- Les questions rhétoriques sont très fréquentes dans le Coran et elles ont été rendues sans difficulté puisque cette pratique langagière est courante en français. Nous donnons un exemple de la traduction du verset 7de sourate Al- Furqân:

"وقالوا ما لهذا الرّسول يأكل الطّعام ويمشي في الأسواق لولا أنزل اليه ملك فيكون معه نذيرا"

Hamidullah: Et ils disent: "Qu'est-ce qu'il a ce messager, à manger au repas, et à circuler dans les bazars? "

Fahd: " Et ils disent: " Qu'est-ce donc que ce Messager qui mange de la nourriture et circule dans les marchés? "

7- La comparaison est également fréquente dans le Coran et est assez facile à rendre. Nous donnons l’exemple du verset 58 de sourate Ar-Raḥmân:

" كأنّهنّ الياقوت والمرجان"

Hamidullah: «Elles seront comme le rubis et le Corail».

Fahd: «Elles seront (aussi belles) que le rubis et le corail»

8- La métonymie dans le verset 26 de sourate Al Muddaṯir:

"سأ صليه سقر"

Saqar est l'un des qualificatifs de l'enfer; selon **Al- Mu‘jam Al-Wasît**, ce mot signifie la grande chaleur du soleil ou du feu et le mal qu'elle cause, il n'a pas d'équivalent exact en français.C'est pourquoi Hamidullah a choisi de le

garder dans le texte français, mais il a oublié d'ajouter une note explicative. Fahd l'a traduit par **le feu intense:**

Fahd: « Je vais le brûler dans le feu intense».

Hamidullah:«Je vais le jeter dans l'enfer-Sacar».

9- Le verset 24 de sourate Aš-Šûra:

" انَه عليم بذات الصدور "

Hamidullah: «Oui, Il sait bien le contenu des poitrines».

Fahd: « Il connaît bien le contenu des poitrines».

Tous les deux ont préféré garder la métonymie arabe. Il aurait été pourtant possible de recourir à une métonymie française comme **Il connait le secret des cœurs.**

10- L'euphémisme dans le verset 189 de sourate Al- A‘râf:

"هو الَذي خلقكم من نفس واحدة وجعل منها زوجها ليسكن اليها فلمَا تغشَاها حملت حملا خفيفا فمرَت به"

Le verbe **Tağaššâha** signifie littéralement **Il l'a couverte**, c'est un euphémisme pour ne pas désigner le rapport sexuel. Hamidullah a gardé l'euphémisme en employant verbe **couvrir**, tandis que Fahd a utilisé verbe **cohabiter:**

Hamidullah: «C'est lui qui vous a créés d'un individu unique, et qui a fait, de lui, pour lui, son épouse, près de qui il pût habiter, et lorsque celui-ci **l'eut couverte,** une portée légère…..».

Fahd: «C'est lui qui vous a créés d'un seul être dont il a tiré son épouse, pour qu'il trouve de la tranquillité auprès d'elle, et lorsque celui-ci **eut cohabité avec elle**, elle conçut une légère grossesse…».

Aspects culturels et interférences

Selon Cordonnier (2002:42), la traduction est une communication interculturelle car elle communique des spécificités culturelles: «c’est-à dire ce qui caractérise l’autre et pas le même, mais elle communique aussi par ce qu’elle est, à savoir la façon dont elle se pratique, les modes de traduire apportent des informations sur l’être du traducteur et sur sa culture dans son rapport à l’autre».

Pour H.Abdul.Raof (2003:93), certains mots coraniques ont des nuances affectives spécifiques et ne pourraient pas être traduits en langue étrangère, ils causent donc ce qu'il appelle un **vide lexical.** Selon lui, ces mots ou concepts ne

peuvent être rendus que grâce à l'analyse componentielle ou à l'aide d'expressions périphrastiques. En Voici quelques exemples:

1- Le verset 6 de sourate Al-Mâi’da

1- التيمّم: "..فلم تجدوا ماء فتيمّموا صعيدا طيّبا فامسحوا بوجوهكم وأيديكم منه.."

Le mot français **Ablutions** ne suffit pas. Fahd a expliqué le concept sans garder le mot arabe, il a aussi ajouté une note détaillée. Hamidullah a forgé l’expression **ablution pulvérale.**

Hamidullah: «Faites alors ablution pulvérale sur une terre propre, et passez avec cela les mains sur vos visages et sur vos mains».

Fahd: «Alors, Recourez à une terre pure, et passez-vous-en sur vos visages et sur vos mains».

2- Les versets 2,3 et 4 de sourate Al-’Iẖlâṣ

2- الصّمد: "اللّه الصّمد، لم يلد ولم يولد ولم يكن له كفوا أحد"

Hamidullah a traduit **aṣṣamad** par l**'Absolu**, il ajoute une note dans laquelle il précise qu'il a également traduit **Al Aqayyûm** avec ce même mot et il explique qu'il y a des divergences sur le sens de **ṣamad** mais que la meilleure interprétation serait: "Celui dont tout le monde a besoin mais qui, lui, est à l'abri de tout, qui est absolument indépendant, le Tout- Autre."

Fahd: «Allah, le seul à être imploré pour ce que nous désirons».

L'idée d'éternel n'est pas présente chez Fahd, il n'ajoute pas de note, non plus.

Nous remarquons que Fahd a appelé cette sourate **Le monothéisme pur** et Hamidullah **La pureté**

3- Le verset 45 de sourate Al-Baqara

3- الخشوع: "واستعينوا بالصبر والصلا ة وانّها لكبيرة الاّ على الخاشعين "

Fahd et Hamidullah traduisent **ẖaši‘în** par **Humbles**

Selon Al-Mu‘jam Al-Wasît,Le mot **ẖušû‘** signifie craindre Dieu mais aussi l'aimer, il comprend l'idée d'humilité et de soumission. Selon le dictionnaire Hachette, l'humilité est le sentiment de notre petitesse et de notre faiblesse qui nous pousse à ravaler toute espèce de hauteur ou d'orgueil. On parle d'humilité chrétienne, voire soumission et déférence.

Donc **Humbles** ne couvre qu'une partie des traits distinctifs de **ẖušû‘**, il y manque l'idée d'amour. Il y a aussi les mots **Pieux, piété** en français qui sont souvent utilisés pour traduire**Taqwa** dans lequel il y a l'idée d'éviter**:**

معجم الوسيط: التّقوة: الخشية والخوف، تقوى الله: خشيته وامتثال أوامره واجتناب نواهيه

Pieux (Le Dictionnaire Hachette): animé ou inspiré par une affection respectueuse.

Donc **Pieux** comprend l'idée d'amour ou d'affection. Et le **recueillement** c'est de détacher son esprit de toute pensée profane et de se livrer à de pieuses méditations. On voit que ces mots français et arabes qui sont très proches ne se recouvrent pas complètement.

4- Le verset 4 de sourate At-takwîr:

" واذا العشار عطّلت "

معجم الوسيط: العشراء من النّوق ونحوها: ما مضى على حملها عشرة أشهر، جمع عشار

On voit bien que le mot **‘Išâr** est très typique de la culture arabe.

Hamidullah et Fahd donnent la même traduction avec la même note explicative. Hamidullah ajoute que le mot **'Išâr** vient de dix.

La traduction: «Les chamelles à terme négligées».

La note: Chamelle à terme: le mot arabe 'Ichâr signifie chamelle grosse de dix mois, prête à accoucher

5-La notion de pluie dans le verset 84 de sourate Al-A‘râf:

" وأمطرنا عليهم مطرا فانظر كيف كان عاقبة المجرمين "

Fahd: «Et Nous avons fait pleuvoir sur eux une pluie. Regarde donc ce que fut la fin des criminels!»

Hamidullah: «Et Nous avons fait, sur eux, pleuvoir une pluie. Regarde donc ce qu’il est advenu des criminels!»

Fahd ajoute une note pour expliquer qu’il s’agit de pluies de roches, le châtiment du peuple de Lot.

Dans le verset 40 de sourate Al.Furqân, Fahd et Hamidullah traduisent

مطر السوء

par **pluie de malheur**

Dans le verset 28 de sourate Aš-Šûra, il s'agit du mot arabe **ğayṯ**, synonyme de **maṭar** qui connote toujours l'idée de *bonne pluie*

" وهو الذي ينزّل الغيث من بعد ما قنطوا وينشر رحمته وهو الوليّ الحميد"

Les deux traducteurs se sont contentés de traduire **ğayṯ** par **pluie**.

Fahd: « Et c'est lui qui fait descendre la pluie après qu'on en a désespéré, et répand sa miséricorde. Et c'est lui le Maître, le Digne de louange»

En revanche, dans le verset34 de sourate Luqmân, Fahd rend **ğayṯ** par **pluie salvatrice**.

Il tient donc compte de la différence de connotation entre **maṭar** et **ğayṯ.**

" إنّ اللّه عنده علم السّاعة وينزّل الغيث ويعلم ما في الأرحام.................."

Fahd: « La connaissance de l'heure est auprès d'Allah; et c'est Lui qui fait tomber la pluie salvatrice……………»

6- Les mots **Kitâb** et **ṣuḥof** apparaissent dans beaucoup de versets. **Kitâb** est toujours traduit par **Livre** surtout lorsqu'il s'agit des *Gens du livre* (les chrétiens et les juifs) tandis que **ṣuḥof**, il est traduit par **feuilles** ou **écritures** et **kutob** par **prescriptions.**

Nous donnons l'exemple de sourate Al-Bayyina où il y a plusieurs occurrences de ces deux synonymes arabes:

"لم يكن الّذين كفروا من أهل الكتاب والمشركين منفكّين حتّى تأتيهم البيّنة. رسول من اللّه يتلوا صحفا مطهّرة فيها كتب قيّمة...."

Fahd:«Les infidèles parmi les gens du livre, ainsi que les Associateurs, ne cesseront pas de mécroire jusqu'à ce que leur vienne la Preuve évidente: un messager, de la part d'Allah, qui leur récite des feuilles purifiées, dans lesquelles se trouvent des prescriptions d'une rectitude parfaite».

7- Les couleurs dans les expressions idiomatiques:

Le verset 106 de sourate Al-'Imrân:

"يوم تبيضّ وجوه وتسودّ وجوه"

Hamidullah: «Le jour où tels visages s'éclaireront et les autres deviendront noirs».

Fahd: «Au jour où certains visages s'éclaireront, et que d'autres s'assombriront».

Nous remarquons qu’en français, on peut désigner le mal par le noir ou une couleur sombre. Par contre, on ne peut pas désigner le bien par un visage **blanc** parce que cette collocation inspire plutôt la maladie ou la colère, le dictionnaire Hachette donne l'expression *Blanchir de colère*. C'est pourquoi Fahd et Hamidullah ont employé le verbe **s'éclairer,** qui renvoie à la clarté et à la lumière par opposition au noir et au sombre. On dit en français: Etre rayonnant de bonheur et de joie.

8- L'expression idiomatique dans le verset 4 de sourate Muḥammad:

"فاذا لقيتم الّذين كفروا فضرب الرّقاب حتّى اذا أثخنتوهم فشدّوا الوثاق فامّا منّا بعد وامّا فداء حتّى تضع الحرب أوزارها"

«Lorsque vous rencontrez (au combat) ceux qui ont mécru frappez-en les cous. Puis, quand vous les avez dominés, enchaînez-les solidement. Ensuite……..jusqu’à ce que la guerre dépose ses fardeaux»

Hamidullah: «…….afin que la guerre dépose ses charges».

Fahd:«…………….jusqu'à ce que la guerre dépose ses fardeaux».

L'expression idiomatique ici signifie **jusqu'à ce que la guerre finisse.**

Hamidullah a traduit **ḥattâ** par **Afin que** alors qu'il s'agit de l'expression du temps **jusqu'à.**

9- Le traducteur est influencé par sa culture. Par exemple dans le verset 3 de sourate Al- Baqara, qui concerne la prière musulmane, Hamidullah utilise une expression chrétienne tandis que Fahd garde le mot arabe:

" الّذين يؤمنون بالغيب ويقيمون الصّلاة وممّا رزقناهم ينفقون"

Hamidullah: «Et établissent **l'office»**

Fahd: «Et accomplissent **La Salât»**.

Nous pensons que le mot **prière** est plus général que le mot **office.**

10 -Le verset 138 de sourate Al- Baqara

" صبغة الله ومن أحسن من الله صبغة ونحن له عابدون"

Selon Ibn Kaṯîr, **ṣibğatu l-lâh** signifie **Fiṭrat et Dîn il-lâh,** c'est-à-dire la création de Dieu et sa religion, d’où la traduction de Fahd, toujours explicite:

«Nous suivons la religion d'Allah. Et qui est meilleur qu'Allah en sa religion?»

Hamidullah: «A la couleur de Dieu. Et qui plus que Dieu beau de couleur?»

La traduction de Hamidullah rappelle l'idée chrétienne selon laquelle Dieu a créé l'homme à son image.

Conclusion

Nous avons examiné un corpus de versets tiré de trois traductions contemporaines du Saint Coran: l'une individuelle, celle de Masson, qui est en général littérale et ne rend donc pas le sens exégétique, une deuxième, celle de Hamidullah qui est le fruit de la collaboration entre un arabophone et un francophone, avec une bonne introduction, des explications et des références à la Bible. Cette traduction s'est basée sur les exégèses, elle est riche et soignée. Néanmoins, elle contient quelques traductions littérales; nous y avons également décelé une faute de frappe, un *s* à la place d'un *t*, et un manque, c'est- à- dire un verset non traduit.

Quant à la troisième traduction, celle de Fahd, qui est le fruit de la coopération au sein d'une équipe de chercheurs, elle s'est basée sur la précédente pour la compléter et l'améliorer, elle est aussi riche en notes explicatives et on peut remarquer qu'elle s'est basée sur les exégèses musulmanes pour rendre les sens les plus " forts " des différents versets. Cette traduction a choisi de garder les noms arabes comme Allah ou Al Salât. Elle évite la littéralité et ce, à notre avis, grâce à des recherches approfondies dans l'exégèse. Comme c'est le travail de toute une équipe, elle permet de donner la meilleure traduction possible, rendre le sens le plus clairement possible et essayer aussi de refléter les deux cultures arabe (et surtout arabe musulmane et coranique) et française(ou francophone).

En effet, entreprendre le projet de traduire le Coran n'est pas une tâche facile. Il est évident qu'un livre de cette richesse mérite la conjugaison des efforts des arabophones et des francophones, et de préférence, sous l'égide d'institutions du Monde arabe et musulman, afin d’arriver à la meilleure version possible. Celle-ci devrait être claire, précise et autant que possible élégante, elle devrait tenir compte de la nature des lecteurs, musulmans francophones ou francophones désirant découvrir l'Islam. Bien sûr, il ne faut pas tomber dans la lourdeur du style en voulant à tout prix imiter la rhétorique coranique, ni dans

l'extrême simplicité en l'évitant car, comme nous l'avons vu, certaines métaphores arabes ont été merveilleusement rendues par Fahd et Hamidullah: "Ma tête s'allume de blancheur" et "Au jour où certains visages s'éclaireront et d'autres s'assombriront".

N'oublions donc pas que chaque langue a sa beauté et son propre génie. Nous pensons que plus les traducteurs se pencheront sur le Coran et plus ils découvriront sa richesse et sa beauté. Enfin, La traduction du Coran est un bon exemple pour les études contrastives qui constituent, il est vrai, un grand défi pour les traducteurs mais aussi et surtout un plaisir intellectuel.

دراسة تقابلية لثلاث ترجمات فرنسية معاصرة للقرآن الكريم

نرجس الناصر، قسم اللغة الفرنسية وآدابها، الجامعة الأردنية، عمان، الأردن.

ملخص

هذا البحث عبارة عن دراسة تقابلية بين اللّغة الفرنسية واللّغة العربية وذلك من خلال مقارنة ثلاث ترجمات فرنسية معاصرة للقرآن الكريم.

وبهدف تقديم عرض واضح فقد قمنا بتقسيم البحث إلى أربعة أقسام، قسم خاصّ بالمفردات، قسم يعالج النّحو وآخر للبلاغة أمّا القسم الأخير فيتعلّق بالتّأثيرات الثّقافيّة على التّرجمة، أمّا عيّنات الدّراسة فهي آيات من سور البقرة وآل عمران والنّساء والمائدة، ومن خلال التّحليل تبين هذه الدّراسة الصّعوبات كما أنّها تسلّط الضّوء على التّرجمات النّاجحة لتتوصّل إلى نتيجة مفادها أنّه يمكن تقديم ترجمة فرنسية واضحة للقرآن الكريم تتطابق مع التّفاسير الشّهيرة وفي الوقت نفسه تحترم قواعد اللّغة والثّقافة الفرنسية.

المفردات الأساسيّة: القرآن، التّفسير، ألبلاغة، الثّقافة، اللّغة العربيّة، اللّغة الفرنسيّة.

* **The paper was received on March 10, 2009 and accepted for publication on June 2, 2010.**

Notes

(1) Nous nous basons sur la traduction du Complexe du Roi Fahd

(2) Désormais Masson, Hamidullah et Fahd

(3) Nous avons adopté la transcription Times Beyrut Roman, jointe en annexe à cette recherche, les voyelles longues sont surmontées d'un accent circonflexe.

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ANNEXE: Système de transcription Times Beyrut Roman

Numéro	Lettre Arabe	Transcription	Numéro	Lettre Arabe	Transcription	Numéro	Lettre Arabe	Transcription	Numéro	Lettre Arabe	Transcription
1	ء	’	8	ز	Z	15	ن	N	22	س	S
2	أ	A	9	ح	Ḥ	16	ص	Ṣ	23	ت	T
3	ب	B	10	ط	Ṭ	17	ع	‘	24	ث	Ṯ
4	ج	J	11	ي	Y	18	ف	F	25	خ	Ḫ
5	د	D	12	ك	k	19	ض	Ḍ	26	ذ	Ḏ
6	ه	H	13	ل	L	20	ق	Q	27	ظ	Ẓ
7	و	W	14	م	M	21	ر	R	28	غ	Ğ
									29	ش	Š

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Pour une nouvelle perspective d'apprentissage : l'approche par les tâches dans un cours de français langue étrangère (FLE) à l'université du Yarmouk en Jordanie.

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Abstract

Activities in class vary according to the course material, the student's educational level and the teacher's goals. The theoretical forms and the educational behaviour in class have changed with the development of foreign language methodologies. Such educational behaviour directly affects the process of learning.

This study attempts to present a critical analysis of a new method of learning namely "Task-based learning" in teaching French as a foreign language (FFL). Furthermore, it highlights the definition of the task and the factors that can help to introduce the task in a French language class for beginners at Yarmouk University. In addition, the study attempts to find a scientific answer for the new requirements of this way of learning.

Introduction

Les activités dans une classe de langue étrangère varient selon le contexte, le niveau des apprenants et les objectifs de l'enseignant. Avec l'évolution des méthodologies de l'enseignement des langues étrangères, ce ne sont pas seulement les cadres théoriques qui se transforment, mais également les pratiques de classe influant directement sur l'apprentissage. Cette étude a l'objectif de présenter une analyse critique de l'intérêt d'une nouvelle approche, l'approche par les tâches en didactique du français langue étrangère (FLE). Elle s'attache à définir le concept de tâche et à étudier les facteurs permettant l'introduction des tâches dans un cours de FLE pour les débutants dans l'université du Yarmouk en Jordanie en essayant d'apporter une réponse didactique et scientifique aux nouvelles exigences.

L'approche par les tâches: une continuité avec la méthodologie communicative

Apparue à la suite de la méthodologie communicative, l'approche par les tâches représente avec la pédagogie du projet et le scénario d'apprentissage les

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formes de mise en œuvre de la perspective actionnelle. C'est une approche qui considère l'apprentissage comme un processus de construction et d'interaction qui implique des procédures internes et interactionelles permettant la production de nouveaux énoncés dans la langue et la réalisation des actions. En suivant ce paradigme, l'apprentissage d'une langue n'est pas réduit à un comportement acquis par un conditionnement interne. L'individu qui apprend la langue est considéré comme un sujet actif effectuant des processus qui transforment les connaissances acquises et cet individu les construit.

Cette perspective établit une continuité avec la méthodologie communicative et insiste sur la dimension authentique. Dans le champ de la didactique des langues, les deux approches communicative et actionnelle trouvent leur paradigme de références dans les orientations des théories constructivistes et socioconstructivistes (Puren, 2007: 2). Dans leur perspective la langue est considérée comme instrument de communication et d'interaction sociale.

Définition du concept de tâche

Le concept de tâche en didactique des langues est introduit par des spécialistes anglophones. Nunan le définit comme une unité de travail dans la classe de langue de la manière suivante: "*Task is a piece of classroom work which involves learners in comprehending, manipulating, producting or interacting in the target language while their attention is principally focused on meaning rather than form*.."(Nunan, 1989: 10). Cette unité est composée d'objectifs, de supports, de procédures, du rôle de l'enseignant, du rôle de l'apprenant et du cadre ou contexte. La tâche est ensuite adoptée par le Cadre Européen Commun de référence pour les langues (CECRL):*"Est définie comme tâche toute visée actionnelle que l'acteur se représente comme devant parvenir à un résultat donné en fonction d'un problème à résoudre, d'une obligation à remplir, d'un but qu'on s'est fixé"* (Conseil de l'Europe, 2000: 16). Le CECRL se concentre sur la description des tâches et leur exécution, sur les conditions et les contraintes des tâches mises en œuvre par des apprenants ayant différentes caractéristiques linguistiques, cognitives et affectives.

Le dictionnaire du français langue étrangère et seconde indique qu'une tâche a le même sens que celui présenté par Nunan qui désigne "*un ensemble structuré d'activités devant faire sens pour l'apprenant; il s'agit de se confronter à un support authentique, par des activités de compréhension, de production, d'interaction avec les pairs"* (Cuq, 2003: 234). Nous pouvons dire que le point commun entre les différentes définitions est qu'une tâche doit avoir essentiellement un sens pour l'apprenant ainsi qu'une visée communicative et interactionnelle voire pragmatique.

Implications de l'approche par les tâches dans une classe de français langue étrangère

Quel changement dans l'apprentissage du français langue étrangère peut être réalisé par l'introduction de l'approche par les tâches?

La réponse à cette question nous amène à aborder trois aspects essentiels quand nous évoquons les implications didactiques: les activités, le rôle de l'enseignant et celui de l'apprenant.

Les activités: de nouveaux types et de nouvelles orientations

Le CECRL met en avant le fait que les activités d'apprentissage doivent mobiliser chez les apprenants d'une langue des compétences communicatives et actionnelles. La sollicitation de leurs différentes stratégies est indispensable afin d'avoir un résultat identifiable ou d'arriver finalement à la réalisation d'une action dans une situation donnée. Dans cette mesure, il est évident que la tâche doit avoir un sens et constitue un acte communicatif en soi. Elle s’inscrit dans des circonstances et un environnement donnés, à l’intérieur d’un domaine ou d’une action particulière. En d'autres termes, une action doit être justifiée par le renvoi aux pratiques sociales. Conformément à cette perspective, une focalisation sur le sens plus que sur la forme est exigée pour que la tâche soit significative quand les apprenants travaillent dans la classe de langue.

Nous parlons dans ce cas des activités qui permettent le déroulement des situations authentiques. Une tâche doit être une activité contextualisée faisant partie de la vie quotidienne et impliquant les apprenants dans la réalisation d'actions réelles et authentiques. Ces éléments permettent le renouvellement et la contextualisation des activités d'apprentissage en proposant l'entrée par projet (Puren, 2007:2) ou par tâche dans les unités didactiques qui doit remplacer naturellement l'entrée par l'exercice ou l'activité grammaticale. La pédagogie du projet est autrement plus riche du point de vue didactique et plus adaptée à l’enseignement des langues vivantes étrangères.

L'apprenant: un acteur social

Suivant la perspective actionnelle, l’usager et l’apprenant d’une langue sont considérés comme des "*acteurs sociaux ayant à accomplir des tâches (qui ne sont pas seulement langagières) dans des circonstances et un environnement donnés, à l'intérieur d'un domaine et d'action particulier*" (Conseil de l'Europe, 2000: 15). Les apprenants sont impliqués dans une compréhension, interaction, manipulation et production dans cette langue. Il ne s’agit plus seulement de communiquer avec l’autre mais d’agir avec lui, comme par exemple, interagir avec un service public. C’est ainsi que l’apprenant est supposé être un usager de

la langue au même titre que l’usager natif. Les tâches d’apprentissage proposées doivent l'amener à réfléchir au lien entre les savoirs et leur utilisation, entre intention et action. Elles le rendent responsable de son apprentissage, il prend des initiatives et fait des choix pour réaliser son action. Il est amené à partager ses savoirs et savoir-faire avec les autres pour accomplir des tâches et réaliser une action commune.

L'enseignant: un concepteur pédagogique

Dans une situation didactique introduisant les tâches, l'enseignant est un acteur qui guide le cours, l'anime et l'organise. Il est un conseiller qui soutient les apprenants et leur donne un rôle primordial. Ses implications dans cette situation sont constituées par le choix des types de tâches, leur conception et la réflexion sur la possibilité de leur implémentation. L'enseignant observe et analyse l'exécution d'une tâche en fournissant les outils et les ressources nécessaires afin de faciliter l'apprentissage et de placer l'apprenant dans des situations réelles ou proches du réel.

Le cas d'un cours de FLE pour les débutants à l'université du Yarmouk: analyse critique de la méthode (*Campus 1*)

Les méthodes de l'enseignement ont un rôle important dans l'introduction de l'approche par les tâches dans les classes de FLE. Depuis l'apparition de l'expression « perspective actionnelle » dans le CECRL, nous observons qu'un changement de paradigme entre la méthodologie communicative et la perspective actionnelle a commencé à s'opérer visiblement dans les manuels et les méthodes. Nous choisissons de procéder à l'observation de la place accordée à cette appoche dans un cours pour les débutants utilisant la méthode "*Campus 1*" (Jacky Girardet et Jacques Pécheur, 2002) à l'université du Yarmouk. En fait, ce cours est intensif et donné à raison de deux heures, trois fois par semaine pendant un semestre universitaire s'étendant sur quatre mois.

La méthode se réclame explicitement des compétences définies par le Cadre européen de référence. Son analyse peut permettre l'identification des activités proposées et l'examen de leur rapport avec l'approche en étude. C'est une procédure qui amène à connaître les pratiques pédagogiques afin de montrer ce qui peut être modifié dans ces cours et de voir la possibilité et - si oui- la manière d'articuler les différentes procédures dans notre propre contexte. Les pratiques des enseignants peuvent être innovées et les effets générés par l'apprentissage apparaissent bénéfiques en didactique des langues.

Notre démarche s'appuie sur la reconnaissance des caractéristiques de l'approche par les tâches telle qu'elles sont définies précédemment dans le cadre des impliclations didactiques ainsi que de l'analyse des tâches dans le cadre du CECRL qui s'inscrit dans une visée actionnelle.

La méthode "*Campus 1*" est destinée à des étudiants débutants (grands adolescents ou adultes), elle se compose de 4 modules. Chaque module comprend plusieurs unités composées des différentes leçons. Notre analyse porte ici sur le premier module (a) composé de trois unités (pages 5-46). Voici le tableau de leurs contenus:

Unités	Objectifs (séquences)	Grammaire	Vocabulaire et Civilisation	Prononciation
1. Découvrir la langue française (pages 6-16)	1. Se présenter 2. Dire si on comprend 3. présenter une personne 4. Nommer les choses 5. Savoir vivre 6. Comprendre la grammaire	.Conjugaison du présent (singulier) .Articles définis et indéfinis . Négation simple .Oppositions masculin/féminin et singulier/pluriel .Complément déterminatif avec "de"	.Connaissances partagées sur la France (lieux, personnes, produits) . Nationalités .salutations, excuses .compréhension des consignes de classe ."Tu" et "vous"	Travail sur l'ensemble du système vocalique
2. Faire connaissance (pages 20-30)	1. Donner des informations sur une personne 2. Demander 3. Exprimer ses préférences 4. Parler de son travail 5. Parler de ses activités 6. Parler de son pays, de sa ville	. Interrogation (est-ce que?) . Négation (pas de) . Conjugaison du présent (pluriel) . Quel interrogatif . Adjectifs possessifs (mon/ma-ton/ta-votre) .	. L'état civil . Les professions . Les loisirs . Pays et villes (Lyon, Marseille, les Alpes, la Suisse) . Relations entre collègues de travail	. Opposition je/j'ai . Type j'aime/nous aimons .{f}/{v} .{d}/{t}
3. Organiser son temps (pages 34-44)	1. Dire la date 2. Dire l'heure 3. Donner des informations sur un emploi du temps 4. Proposer- Accepter- Refuser 5. Interroger-répondre 6. Faire un programme d'activités	. expression de la situatio dans le temps . Pronom après prépositions (moi, toi, etc.) .Futur proche . interrogation (inversion du pronom sujet) . Oui/si-Moi aussi/moi non plus	. le calendrier . Les rythmes de la journée . Les spectacles (lieux de spectacles, etc.) . Mouvements et déplacements . Paris	.{s}/{z} . Liaisons . Opposition {Ø}/{oe} . consonne+ voyelle+ {R} . Ils ont/ils sont

Les titres de ces unités annoncent des situations de communication impliquant une présentation des leçons fondées sur des savoir-faire communicatifs du type: se présenter, présenter une personne, donner des informations sur une personne, exprimer ses préférences, parler de ses activités, etc.

Les objectifs et les principes méthodologiques énoncés par les auteurs dans l'introduction de la méthode permettent à l'étudiant l'acquisition progressive des savoir-faire communicatifs, des savoirs culturels, des savoir-être ainsi que les compétences définies par le Cadre européen de référence et évaluées pour le DELF (unités A1 et A2 pour *Campus 1*). L'examen de l'introduction et des objectifs de la méthode ainsi que l'analyse des activités proposées nous conduisent à avancer les points critiques suivants:

– L'absence de la notion des tâches dans l'introduction.

– Malgré les objectifs affichés par la méthode, les contenus représentant la perspective actionnelle qui s'appuient sur les compétences telles qu'elles sont définies par le CERCL ne sont pas présentées clairement à travers la stucturation et la progression effective de la méthode. Les activités proposées sont majoritairement de type grammatical et nous ne trouvons dans certaines leçons que des exercices impliquant un travail sur la langue et pour la langue sous la rubrique "exercez-vous". La place accordée à ces éléments est importante, nous comptons vingt-cinq exercices et seulement quatre jeux de rôles dans le module a. Concernant le CERCL ce type d'activités est représentatif des tâches de pré-communication pédagogique ayant l'objectif de la manipulation décontextualisée des formes. Le produit de l'apprenant est prévisible et limité, il est à effectuer individuellement.

– Les activités communicatives qui se situent dans les leçons et à la fin des quatre unités sous forme d'une page préparant à l'examen du DELF (A1) dans le cahier d'exercices sont des activités de communication et des jeux de rôles. Les jeux sont des petites scènes à jouer par les étudiants (ex. Le jeu de rôles de leçon 5/unité 1 implique un très petit dialogue, leçon 5/unité 2 exige un travail plus important pour dire "que faire pour le week-end?"). La plupart des tâches ne sont pas authentiques dans le sens où elles restent sous forme de simulation ou de jeu de rôle. En bref, les activités sont dans le meilleur des cas d'orientation communicative dans l'apprentissage de la langue, elles donnent aux apprenants l'occasion de réemployer les formes linguistiques introduites par les leçons. Dans les catégories des tâches proposées par le CERCL, ces activités sont représentatives des tâches de communication pédagogique fondée sur la nature sociale, interactive et

immédiate de classe (Conseil de l'Europe, 2000: 121). Il est aussi visible que les tâches collectives n'ont pas de place dans cette méthode.

– Les autres types de tâches proches de la vie réelle n'existent pas. L'apprentissage est conçu pour le contexte de la classe sans proposer des activités à réaliser hors de la classe. En d'autres termes, la communication est la fin de l'apprentissage et elle n'est pas mise au service de l'action d'une façon pratique ou réelle pour exécuter des actions comme l'exige la perspective actionnelle. Dans une telle perspective, les apprenants ne doivent pas se contenter d'une formation qui les rend capables de communiquer dans des situations attendues mais ils doivent être formés pour devenir des utilisateurs efficaces de la langue. Au sein de la méthodologie de l'enseignement/apprentissage du FLE nous insistons sur l'importance de l'existence d'une relation visible entre les tâches proposées et l'action, ce qui suppose un lien entre l'apprentissage du FLE et son usage.

– L'apprenant est exposé à un ensemble d'activités et d'exercices visant à la pratique de la langue, sans proposer des tâches d'action ou sans se conclure sur une tâche complexe comme par exemple " projet". Le projet est une tendance importante dans les manuels se réclamant aujourd'hui du CERCL ou des tâches. Par conséquence, nous pouvons dire que la langue reste un objet d'enseignement et un moyen de communication dans la classe sans en tirer profit pour agir. La perspective actionnelle ne définit pas le niveau d'un apprenant en fonction du nombre des savoirs linguistiques ou des savoir-faire communicatifs acquis, mais en fonction des tâches qu'il est capable de réaliser correctement.

– Les pratiques pédagogiques sur le terrain réflètent dans leur majorité ces activités qui obligent les enseignants à leur mise en œuvre systématique en s'écartant de toute innovation développant les méthodologies de l'enseignement du FLE.

Que peut introduire l'approche par les tâches dans l'institution éducative?

Ce constat nous conduit à penser à d'autres éléments favorisant l'introduction de l'approche par les tâches dans un cours de FLE quand la méthode ne semble pas en elle-même suffisante pour la pratiquer, surtout les tâches réelles. L'institution éducative, qui élabore des programmes d'enseignement en les définissant clairement est responsable prioritairement de cette action. Il s'agit d'une part de s'adapter aux nouvelles exigences de l'enseignement des langues et de répondre aux besoins des apprenants. La définition des programmes selon le CERCL permet tant d'adopter de nouvelles méthodologies dans l'enseignement des langues étrangères que d'aider les

apprenants à répondre eux-mêmes aux exigences nationales et internationales. Dans ce cas la rénovation des méthodes de FLE, après une analyse scientifique et une réfexion didactique, devient un des choix essentiels. La mise en place d'une évaluation scientifique basée sur les critères du CERCL et la valorisation des examens de la langue française tels que le DELF et le DALF constituent d'autres éléments importants développant la situation didactique. D'autre part, l'institution doit préciser les moyens et identifier les ressources indispensables et disponibles pour atteindre des objectifs réalistes.

Introduction de l'approche par les tâches reposant sur des ressources variées

Les ressources peuvent être considérées comme des ressources humaines ou matérielles. Sans aucun doute les enseignants dans les classes sont le premier vecteur pour le développement des méthodologies de l'enseignement des langues, ils peuvent être des innovateurs. Dans le cadre de l'enseignement universitaire, la formation et l'auto-formation de ces enseignants à la conception et à la mise en œuvre des tâches constituent un besoin essentiel pour ne pas se limiter à un enseignement traditionnel et formel se focalisant sur l'exercice et l'activité moins authentique. Comme le souligne Bérard: "*Il va de soi pour tous que le fait de travailler sur des tâches dans la classe facilite l'apprentissage puisque l'apprenant est placé dans des situations proches du réel et parce que, comme dans le communicatif, la réalisation des tâches en classe va permettre de les réaliser ensuite dans la vie quotidienne*" (Bérard, 2009: 39).

Les ressources matérielles sont des moyens fondamentaux pour appuyer l'introduction de cette approche. La richesse de la Toile et les nouvelles technologies de l'information rendent possible cette pratique après une formation adéquate, tout particulièrement dans un contexte isolé linguistiquement et géographiquement de la langue française comme celui de la Jordanie.

La conception des tâches: le pourquoi et le comment d'une exigence didactique

Après avoir analysé les activités existantes dans les cours des débutants, il nous semble important à présent de voir concrètement comment on peut envisager un véritable enseignement/apprentissage à travers l'approche par les tâches. Nous portons un intérêt particulier à la conception des tâches qui paraît logique dans les situations pédagogiques où les ressources de l'apprentissage sont restreintes au manuel. C'est le cas des manuels qui ne répondent pas aux principes de la perspective actionnelle promue par le CERCL et qui sont utilisés dans des environnements d'apprentissage moins ouverts n'ayant pas suffisamment de contact avec les milieux francophones. La réalisation des tâches dans la classe de langue donne l'occasion aux apprenants d'effectuer des tâches

réelles ou proches de la vie réelle, elle facilite leur intégration dans les pays francophones quand ils y vont pour effectuer des études ou pour travailler.

La conception demande un approfondissement et une évolution de certains concepts, compétences et outils permettant sa réalisation. Les compétences peuvent être définies comme une série d'aptitudes à mettre en œuvre des savoirs, des savoir-faire et des attitudes permettant d'accomplir un certain nombre de tâches. Selon les points de vue des didacticiens, la conception est définie et achevée en fonction des éléments fondamentaux tels que l'unité didactique et l'objectif de l'apprentissage. En avançant les formes selon lesquelles l'approche par les tâches peut être présente dans la classe, Puren souligne l'importance d'un travail sur l'unité didactique dans les manuels qui doivent adopter ce qu'il appelle "l'entrée par l'action" qui est "*un modèle d'unité didactique où toutes les activités dans tous les domaines (CO, CE, PO, PE, lexique, culture, grammaire et graphie-phonie) sont conçues en fonction d'une action unique à partir de laquelle et à propos de laquelle est construite l'unité et l'unité didactique*" (Puren, 2008: 12). Les deux modèles représentatifs de ce type sont le modèle anglo-saxon du *Task based Learning*, dans lequel les activités sont présentées comme une action centrale, et le modèle français du *scénario didactique* qui propose une série de tâches successives pour réaliser une action (Puren, 2008: 12). Dans ces deux modèles, l'action constitue une nouvelle dimension centrale de l'apprentissage des langues.

Dans l'enseignement du FLE, parmi les moyens favorisant l'introduction des tâches, un outil de conception de tâches complémentaire du Guide pour utilisateurs du CECR est proposé par Bérard sous forme d'une grille prenant en compte les éléments permettant de faire travailler l'apprenant sur les composantes de la compétence à communiquer (Bérard, 2009: 41). C'est une classification qui prend en considération les opérations cognitives que l'apprenant doit réaliser, les supports, les aptitudes à travailler (lire, écrire, écouter, parler) et le rôle de l'enseignant. Cet outil vise à un travail de fond et il est basé sur la classification des tâches. Nous évoquons ici certaines de ses composantes:

-*tâches de base: comprendre, anticiper, répondre, interroger, nommer, compléter, apparier, et identifier.*

- *tâches de conceptualisation: regrouper, classer, ordonner, comparer, mettre en opposition et déduire.*

- *tâches de modification: compléter, insérer, corriger, extraire, supprimer, développer et continuer.*

- *tâches discursives: décrire, discuter, expliquer, argumenter, justifier et démontrer.*

La conception des tâches est considérée comme une nouvelle fonction de l'enseignant notamment dans la formation aux langues par l'utilisation des nouvelles technologies. Dans les formations classiques de l'enseignement des langues, les enseignants n'ont aucun rapport avec les concepteurs et ne peuvent influer sur le contenu. Nous soulignons l'importance de l'outil informatique parce qu'il donne l'occasion aux enseignants d'être à la fois des concepteurs et des acteurs et de recréer un environnement réel et vivant de la langue étrangère, en particulier par le biais des médias et d'Internet. Les technologies de l'information et de la communication pour l'enseignement (TICE) rendent plus aisées la conception et la réalisation des tâches par l'abondance des ressources sur la Toile qui facilitent l'apprentissage de la langue quand elle n'est pas celle de communication dans le contexte. Dans cette mesure, le lien entre l'apprentissage et l'usage devient plus concret et la réponse aux attentes des apprenants demande de l'enseignant une certaine "médiation" entre les objectifs de la conception et les besoins des apprenants pour élaborer les tâches adéquates.

L'enseignant assure cette fonction en rapport avec les besoins des apprenants, le suivi et l'évaluation de sa réalisation. Pour pouvoir concevoir une tâche, l'enseignant doit effectuer une analyse des supports utilisés afin de choisir les ressources adaptées pour réaliser les objectifs pédagogiques attendus. Il rédige les consignes pédagogiques et choisit le mode de travail (collaboratif ou coopératif). L'appropriation des outils techniques (plateforme, forum, chat et messagerie) est une condition importante pour la mise en route des activités.

Nous choisissons de présenter dans cet article une proposition des tâches qui peuvent être réalisées individuellement et collectivement. Mais avant de procéder à ce travail, nous présentons des éléments préalables à prendre en compte dans la conception. En tenant compte du niveau des apprenants dans notre contexte, qui est un niveau débutant, équivalent à A1, nous nous intéressons à proposer des tâches ayant l'objectif de permettre un apprentissage actionnel sans négliger l'importance de respecter la cohérence thématique entre les tâches à proposer et les contenus existant effectivement dans les unités analysées précedemment de la méthode "*Campus 1*". Une des meilleures démarches pédagogiques est de contextualiser les tâches et le contexte doit être nécessairement lié à une thématique. La création du scénario pédagogique qui peut se composer de plusieurs activités à réaliser successivement représente une forme de l'ensemble des tâches contextualisées.

Après le choix de la thématique, l'enseignant rassemble les ressources sur le thème. La sélection des ressources doit satisfaire certains critères tels que leur adéquation par rapport au niveau des apprenants. Il ne faut pas faire travailler ceux-ci sur des ressources présentant des difficultés langagières, et c'est là le rôle de l'enseignant d'être un médiateur de savoirs qui adapte les connaissances au

public visé. Le potentiel des ressources en informations est un aspect incontournable puisque les informations doivent compléter celles qui n'apparaissent pas dans la méthode.

La définition des objectifs langagiers à atteindre vient dans la phase pratique et elle détermine les types de tâches à proposer. Les consignes doivent faire l'objet d'une analyse approfondie car elles vont guider l'activité qui est demandée à l'apprenant. L'enseignant, en fonction de ses objectifs, précise les indicateurs de performances linguistiques, socio-linguistiques et pragmatiques comme le préconise le CERCL. D'après la perspective actionnelle, la production de l'apprenant doit être linguistiquement correcte et pragmatiquement pertinente.

Les tâches dans une classe de FLE

A ce stade, nous essayons de donner des exemples pratiques pour faire travailler les étudiants sur certaines tâches ayant l'objectif de l'apprentissage d'une langue et sur d'autres qui réinvestissent l'apprentissage pour agir collectivement et réaliser une action. Les tâches proposées complétent la première unité du module 1, mais nous ne prétendons pas à l'exhaustivité. Les deux types s'appuient sur l'outil de conception proposé dessus dans l'enseignement du FLE. Pour le premier type des tâches, qui se réalise individuellement, nous proposons à l'étudiant de se présenter sur Internet en écrivant une petite annonce sur le site des annonces étudiantes "Annonce Etudiant": http://www.annonceetudiant.com. La consigne peut être la suivante: "*Vous êtes étudiant (e) à l'université X, vous cherchez un travail. Ecrivez une petite annonce en précisant le travail demandé et les informations qui vous concernent (nom et prénom, âge, langues, travail, adresse)"*.

En effet, cette tâche est ouverte et peut être classifiée comme discursive. Une compétence de communication est constituée de l'ensemble des compétences linguistiques, sociolinguistiques, discursives et stratégiques. L'apprenant met en œuvre sa compétence langagière qui est une complexe et comportant des composantes linguistique, organisationnelle et illocutionnaire. Ses habilités discursives associées à la composante organisationnelle en production écrite sont ici activées. La conception de la langue est ainsi vue comme un savoir à construire en réfléchissant. Ce n'est pas des informations ou un objet à transmettre ou à répéter d'une façon mécanique. L'intérêt de cette activité consiste dans le fait que l'apprenant ne sera pas un producteur de simple réponse à une question et de fournir une réponse ouverte.

On constate également dans cet exemple que ce type de tâches à accomplir est purement communicatif et ne nécessite en aucun cas un travail avec les autres. La démarche actionnelle consiste ici à donner un rôle aux apprenants

dans des situations communicatives. L'activité se présente sous forme de transmission d'informations par le biais de la communication.

L'autre type de tâches à réaliser collectivement est celui de la découverte de l'environnement qui consiste à interroger des gens hors-classe. Elles sont orientées socialement, dans le sens où elles font participer des personnes dans des lieux extérieurs à la classe. La consigne peut être du genre: "*Un groupe français visite votre université. Choisissez des professeurs, des étudiants, et d'autres gens dans votre université que vous voulez présenter oralement, et interrogez-les"*. L'objectif est de préparer une présentation orale par un travail de groupes, par exemple, de quatre étudiants. La démarche appliquée peut être classifiéee comme une tâche complexe qui se compose de tâches de base (ex. interroger les personnes, les comprendre et les identifier), de conceptualisation (ex. regrouper les présentations en fonction de la profession des personnes interrogées), et discursives (ex. décrire et expliquer).

Ce travail permet l'apparition des réalisations finales collectives et incite les apprenants à être de véritables acteurs sociaux qui mettent en jeu des procédures de collaboration. Ils ancrent socialement leurs actions et renforcent l'idée de la compréhension, de l'interaction et de l'agir social considérant l'apprenant comme un acteur. Les apprenants effectuent une négociation, une prise de décision, et une mise en commun pour construire ensemble un objet commun.

En présentant ces exemples, nous constatons que dans le premier la communication est une finalité alors que dans le deuxième, elle est un moyen. Le premier se présente comme une activité communicative, ancrée dans la classe de langue en se centrant sur l'apprenant qui communique et partage ses idées. Le deuxième apparaît comme une tâche sociale, présentée sous forme de petit projet à réaliser par groupes en classe et hors classe afin de collaborer et d'agir avec les autres.

La réalisation d'autres tâches s'appuyant sur des ressources existant sur Internet favorise le travail des étudiants sur des actions qui ne sont pas moins réelles que les actions dans le monde physique. Nous présentons un exemple exploitant la potentialité des ressources numériques et représentant une action réelle de la vie quotidienne. Il s'agit de demander aux apprenants d'aller sur Internet et d'acheter un livre sur le site amazon.fr:www.amazon.fr. La consigne proposée par l'enseignant est: *"Vous devez acheter un cadeau pour votre collègue qui aura son anniversaire le 20 septembre cette année. Vous disposez d'un budget de 20 €. Vous allez sur le site amazon.fr, vous devez avoir le cadeau le jour de son anniversaire"*.

Ce qui caractérise cette tâche est qu'elle ne constitue pas une simulation de la vraie vie dans notre classe de français. Bérard souligne qu' "*Il est cependant*

évident que toute une série de tâches proposées en classe relève de la simulation du réel, nous sommes bien alors dans le "faire semblant accepté" comme règle pour apprendre la langue étrangère. Mais certaines tâches peuvent avoir un rapport étroit avec la réalité: comprendre un document sonore ou télévisé, avoir une conversation avec un autre apprenant sur une expérience personnelle...." (Bérard, 2009:41).

L'apprenant, grâce à Internet, est constamment en contact direct et réel avec le monde en dehors de la classe et le résultat qu'il obtient (l'achat d'un livre) à la fin de la tâche est identifiable bien qu'il ne soit pas langagier. L'enseignant peut intervenir en présentant son aide pour mener à bien la tâche, par exemple, utiliser sa carte de paiement pour payer les frais de livraison du livre et concrétiser l'action.

Conclusion

Le Cadre européen commun de référence pour les langues fournit aux enseignants un outil qui s'est imposé dans l'apprentissage des langues en Europe et dans d'autres pays en traduisant une préoccupation de la mise en place de la perspective actionnelle. L'approche par les tâches ouvre une nouvelle perspective tout en accentuant le rapport entre l'apprentissage d'une langue étrangère et l'usage dans un contexte réel. L'orientation méthodologique des activités se tourne vers des actions ouvertes en dehors de la classe. La langue est activée comme un moyen permettant la réalisation des actions en donnant à l'apprenant un nouveau statut lui permettant de devenir un acteur social. Pourtant la question majeure de l'articulation entre tâches et activités des méthodes au sein de l'institution éducative doit être abordée et traitée explicitement afin de contextualiser l'apprentissage et garantir une certaine cohérence dans l'acquisition des savoirs et savoir-faire. Cette exigence nécessite une réflexion didactique, partant de l'expérience des enseignants, sur d'autres pistes que l'on peut explorer tant dans le domaine de l'interculturel que dans l'utilisation des technologies de l'information et de la communication.

من اجل منظور جديد للتعلم: طريقة أداء المهمات في محاضرة اللغة الفرنسية كلغة أجنبية في جامعة اليرموك في الأردن

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ملخص

تتنوع الأنشطة في صف اللغة الأجنبية حسب السياق، مستوى الطلبة وأهداف المدرس. ومع تطور منهجيات تعليم اللغات الأجنبية لا تتغير فقط الأطر النظرية، وإنما الممارسات التعليمية في الصف التي تؤثر مباشرة على التعلم.

تهدف هذه الدراسة إلى تقديم تحليل ناقد لأهمية طريقة جديدة في علم أصول تعليم اللغة الفرنسية كلغة أجنبية وهي طريقة التعلم بأداء المهمات. تقوم الدراسة على تعريف مفهوم المهمة ودراسة العوامل التي تساعد على إدخالها في محاضرة لتعليم اللغة الفرنسية للمبتدئين في جامعة اليرموك. تـحاول الدراسة تقديم إجابة علمية للمتطلبات الجديدة لهذه الطريقة في التعلم.

* **The paper was received on March 15, 2010 and accepted for publication on June 2, 2010.**

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The Arab Journal For Arts Vol. 7 No. 2, 2010, pp. 99-112

L'acquisition de la langue maternelle chez l'enfant

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Résumé

Dans cet article nous poserons une question délicate qui nous intéresse spécialement: quelle serait la meilleure façon d'apprendre le langage à un enfant, par une méthode naturelle ou par une méthode scientifique?

Imaginons une mère qui enseignerait à son enfant dès la naissance, chaque jour, quelques mots précis et quelques règles de grammaire, suivant une progression artificielle précise. Cela est presque impossible à envisager et sans doute ne donnerait pas les meilleurs résultats.

La construction de la parole chez l'enfant se fait dans mille contextes différents, mais à la fin des trois premières années de la vie, tous les enfants du monde ont un noyau central de connaissances, acquis grâce à une interaction naturelle avec l'environnement humain.

La méthode naturelle d'acquisition du langage par l'enfant reste le meilleur mode d'apprentissage que l'on puisse utiliser avec notre enfant (lui parler spontanément est plus important que de se soucier de suivre des étapes précises d'enseignement). En tout cas, les mères «sentent» comment elles peuvent aider leur(s) enfant(s) à s'approprier la parole: leur manière mélodieuse de parler, les mots et les phrases simples et complètes qu'elles utilisent instinctivement vont aider l'enfant, dans ses efforts cognitifs et physiques d'intégration dans le milieu humain.

Introduction

On appelle couramment langue maternelle *la première langue* qui s'impose à chacun. Cette expression est fortement marquée, dans la tradition occidentale, par son étymologie et par les connotations qu'elle induit, cependant, il existe dans de nombreuses sociétés dans lesquelles la langue de la mère biologique n'est pas la première à être transmise à l'enfant.

L'expression «langue maternelle» ne manque pas d'ambiguïté: on retrouve dans les usages soit le sens de «langue nationale», c'est-à-dire langue de l'Etat dans lequel on est né (longtemps seul reconnu dans les dictionnaires), soit le sens de vernaculaire transmis en famille par la mère.

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P. Bouton (2003: 138) met l'accent sur une remarque du *Dictionnaire Le Robert* (1959) qui nous met sur la voie d'un problème sérieux: *«Langue maternelle: la langue que l'on a apprise de sa mère, de ses parents ou de son entourage dès le berceau, ou encore celle de la mère-patrie»*. Les dictionnaires courants définissent la langue maternelle comme «la langue du pays où l'on est né». Cette définition ne recouvre pas tous les cas. A titre d'exemple, pour un Portugais né en France, élevé dans un milieu où l'on parle portugais, la langue maternelle est incontestablement le portugais. Inversement un Portugais dont les parents d'origine étrangère ne parlent plus que le portugais, pourra fort bien considérer comme sa langue maternelle une langue qu'il ignore, celle que parlaient ses ancêtres, si, affectivement, il ne se considère pas comme Portugais. La langue maternelle peut donc être tantôt celle de la mère, tantôt celle de la mère-patrie.

Il existe selon J.P. Cuq et I. Gruca (2003: 90-91) un faisceau de critères qui permettent, quel que soit le nom qu'on lui donne, d'élaborer le concept.

1. Le premier est de l'ordre d'appropriation. La langue maternelle est la langue de la première socialisation de l'enfant. Pour éviter les connotations culturelles, on l'appelle souvent langue première. Le seul inconvénient de cette dénomination réside dans le fait que, dans certaines sociétés, un enfant peut être, dès sa prime enfance, au contact simultané de plusieurs langues.

2. Le deuxième critère ou caractéristique de la langue maternelle est son mode d'appropriation qualifié souvent de naturel. Cela veut dire que l'enfant acquiert l'usage de la langue par contact et interaction avec les autres membres de son groupe, sans véritablement apprendre, c'est-à-dire sans réflexion et sans aide. En effet, il est clair que le rôle de l'entourage est très important en permettant à l'enfant de structurer petit à petit son savoir.

Pour éviter ces connotations, les linguistes emploient souvent les lexies de *langue source,* qui désigne le système idiomatique initial du sujet. Les didacticiens lui préfèrent celle de *langue de départ*, qui a l'avantage d'insister sur l'aspect dynamique de l'appropriation, ou mieux celle de *langue de préférence.*

3. Enfin, il faut noter aussi qu'au concept de langue maternelle se greffe aussi celui de *langue d'appartenance*. Dans cette perspective, la fonction communicative de la langue passe au second plan par rapport à la fonction symbolique, et l'aspect individuel cède le pas au collectif.

Tous ces paramètres donnent au concept de langue maternelle une valeur ambiguë en didactique. Cependant, cette appellation reste une dénomination

d’usage convenable pour désigner un concept qui rassemble des paramètres qui intéressent les didacticiens des langues.

Quand l’enfant naît, il est dépourvu de langage, mais à trois ans il parle presque couramment. Ainsi, le bébé apprend chaque jour, dès les premiers mois suivant la naissance, surtout grâce à son rapport avec sa mère. J. Bruner (1983: 121). D’ordinaire, pendant les trois premières années de sa vie, l’enfant acquiert plus par rapport à sa maîtrise de la parole et des mouvements qu’il ne le fera pendant n’importe quelle autre période de sa vie L. Simonpoli (1991: 29).

Les scientifiques se demandent par quel processus, selon les dires de C. Freinet (2001: 89), tous les enfants *«apprennent à marcher et à parler selon une méthode naturelle»*. Nous allons voir pourquoi nous sommes d’accord avec cette déclaration.

Dans cet article, nous allons essayer d’expliquer le rôle de la mère dans le réseau de communications qui entoure l’enfant. Comment le bébé construit-il sa parole? Quels sont les moyens d’apprentissage du langage qui s’offrent à l’enfant et que celui-ci utilise?

Avant de faire le point sur le processus d’acquisition de la langue maternelle et son développement, il nous semble important de passer en revue les différentes théories les plus importantes dans le domaine de l’acquisition de la langue maternelle chez l’enfant.

I. Les théories sur l’acquisition de la langue maternelle:

A. les conceptions behavioristes

Les behavioristes voient le langage en tant qu’un comportement comme un autre. Ils étudiaient les comportements observables et ils n’accordaient pas aucune importance à ce qui peut se passer dans les cerveaux. Le modèle de base de la théorie behavioriste est qu’un organisme produit une certaine réponse à un stimulus. Cette réponse est ensuite renforcée ou non par le milieu donc cela donne le modèle suivant: stimulus, réponse, renforcement.

Les behavioristes considèrent le comportement verbale comme une variété de comportements ayant un impact sur l’environnement (l’entourage de l’enfant est sensible à ces productions verbales et sonres), et l’environnement exerce en retour un effet sur le sujet ayant émis ce comportement (l’entourage réagit aux productions de l’enfant). Par exemple, si un enfant élevé en contexte francophone dit «aba» pour obtenir un verre d’eau, cette production sonore si elle est comprise par adulte va permettre à l’enfant d’obtenir un verre d’eau. L’obtention de la boisson désirée constitue le renforcement. Si cette production est plusieurs fois suivie de l’effet escompté, elle va acquérir une certaine force.

Dans un premier temps, une approximation de l'expression «à boire» va être renforcée par l'entourage puis les adultes exigeront progressivement une forme plus proche des mots de la langue. Les productions de l'enfant qui ne sont pas renforcées finiront par disparaître. Ces conceptions du langage ont été à l'origine des méthodes de langues étrangères comme la méthode audio-orale.

Ces méthodes sont aujourd'hui critiquées car elles ne prennent pas en compte la spécificité du langage humain qui est considéré par les théories behavioristes comme n'importe quel comportement pouvant être appris à l'aide d'un stimulus et de renforcements. De plus l'activité interne du sujet n'est pas considérée. On étudie juste ce qu'on peut observer. Ces théories donnent beaucoup d'importance à l'entourage de l'enfant dans son rôle de renforcement des productions.

B. L'innéisme (Chomsky):

Pour Chomsky la conception de l'acquisition du langage est basée sur l'innéisme. Il affirme que l'acquisition du langage repose sur une aptitude innée de l'être humain et pas sur. Il existe en chaque individu une capacité de langage innée qui permet à l'enfant de construire son langage rapidement alors qu'il est exposé à des modèles très imparfaits. A partir d'un système fini de règles l'enfant peu comprendre et générer un nombre infini de phrases dans les avoir entendus ou produites auparavant, ce qui constitue une «grammaire générative».

Trois notions sont à la base de cette théorie: l'opposition compétence / performance, le caractère inné du langage et la créativité.

Concernant l'opposition compétence/performance, Chomsky souligne que chaque individu possède une grammaire intériorisée, c'est-à-dire une connaissance intuitive des règles de sa langue. La compétence peut être comprise comme la possibilité illimitée de construire et de comprendre un nombre infini de phrases qui est une aptitude individuelle et créatrice. La performance correspond à l'utilisation que fait l'individu de ce savoir linguistique, ce que chacun se fait de sa langue dans les situations courantes de communication.

Devant la rapidité de l'acquisition du langage Chomsky croit que tout individu dispose d'une structure innée permettant de construire une grammaire à partir des données fournies par l'environnement. Cette aptitude à acquérir les structures de la langue est décrite comme dispositif innée du langage.

Pour lui, l'acquisition du langage par l'enfant n'est pas seulement une imitation des modèles de l'adulte. L'enfant construit son système de règles linguistiques à partir des modèles que lui fournissent les adultes. Ce qu'il produit comme énoncé est justifié par les circonstances et son niveau de développement.

Ces énoncés ne ressemblent pas à ce que les adultes disent dans les mêmes circonstances. Il ne s'agit pas seulement de simplifications ou de régularisations mais de constructions différentes. Chomsky pense aussi que la construction du langage résulte d'un mélange personnel de créativité et d'imitation. Imitation pour les modèles, créativité pour les la production de phrases jamais entendues. Il voit le langage comme un produit de l'intelligence ou de la raison et non pas d'un apprentissage au sens behavioriste du terme.

C. Les approches interactionnistes et pragmatiques

Selon cette théorie on n'apprend pas à parler tout seul. L'interaction est toute action conjointe mettant en présence au moins deux acteurs chacun modifiant son comportement en fonction de l'autre. Dans ces théories la notion d'action est centrale. On peut retenir deux idées fortes qui inspirent les études sur l'acquisition:

A. la zone de proche développement: Il s'agit de comprendre comment l'interaction entre l'enfant et son environnement constitue le moteur de l'acquisition du langage ou sur la manière dont les adultes aident les enfants à développer leurs compétences. Il s'agit de guider l'activité de l'enfant de manière à lui permettre de réaliser de manière autonome ce qu'il a pu effectuer avec l'aide de l'adulte.

B. Le langage pour soi: Vygotsky réfute la théorie de Piaget selon la quelle le premier langage de l'enfant sous forme de monologue sont égocentrique. Pour Piaget, il s'agit d'une manifestation de l'égocentrisme enfantin. Cependant, Vygptsky pensent que ces formes sont du langage pour soi, commentaire de l'action puis de la pensée qui se transforme au cours du développement en langage intérieur.

D. les travaux de Bruner

Bruner renoue avec la tradition d'observation. Pour ce faire, il refuse les observations en laboratoire et préfère observer les enfants chez eux avec une caméra vidéo. Bruner ne réfute pas les théories de Chomsky (innéisme) mais il croit qu'elles sont insuffisantes pour expliquer l'acquisition du langage. Pour Bruner il existe trois aspects dans le langage qu'on ne doit pas négliger: l'aspect syntaxique, l'aspect sémantique ou le sens. En effet, les petits enfants n'apprennent pas la grammaire pour elle-même mais pour faire ou produire quelque chose qui a un sens. Et l'aspect pragmatique: on s'interroge alors sur l'intention communicative de l'enfant. Le critère pour juger les progrès dans l'acquisition n'est pas grammaticale, sémantique ou référentielle mais l'efficacité. Ces trois aspects se développent en même temps.

L'acquisition du langage commence avant que l'enfant prononce sa première parole lexico-grammaticale. Elle commence quand la mère et l'enfant créent un scénario prévisible d'interaction qui peut servir de microcosme pour communiquer et établir une réalité partagée.

Concernant les échanges entre enfant et adulte, l'adulte fourni un étayage pour soutenir ou stimuler les comportements de l'enfant. Il s'agit de l'aider à comprendre le but à atteindre et les moyens de les atteindre.

L'étayage langagier se caractérise par son souci de soutient sur l'enfant et ses apprentissages. Il s'agit alors d'une relation entre deux, principalement dans le contexte scolaire, entre l'adulte et l'enfant qui se nourrit de l'asymétrie des statuts, des rôles et des savoirs.

II. L'apprentissage de la communication

Comme nous le savons, la communication est une pratique langagière organisée très structurée et qui correspond à des règles sociales de vie. La conversation est importante dans la vie quotidienne, c'est le moyen par lequel les gens sont en relation et le moyen de vérifier, pour l'individu, qu'il appartient à un groupe. La communication permet à l'individu de s'intégrer à un groupe elle peut avoir aussi une fonction de structuration car l'individu se structure dans les échanges avec les autres. Elle a également une fonction différenciatrice car elle est considérée comme le moyen de faire la part entre moi et les autres.

La conversation quotidienne est la seule activité langagière qui soit pratiquée par tous les membres d'une communauté quelconque. Elle permet à l'individu de construire son identité sociale. Les enfants qui jouent seuls produisent en général les discours de l'autre. La conversation quotidienne est le modèle de toute activité langagière. Ainsi lorsque deux personnes discutent de façon interactive, il est difficile de savoir quel est le discours de l'un et de l'autre on parle alors de co-construction, l'un commence la phrase l'autre la termine. Lorsque plusieurs personnes sont en interaction, il existe des règles de gestion de cette conversation qui sont implicites et que les enfants doivent apprendre pour être considérer comme des interlocuteurs, des membres de la communauté à part entière. Les jeunes enfants ne le connaissent pas au début mais ils les apprennent.

Les mères n'utilisent pas de méthode précise (scientifique ou artificielle) dans l'apprentissage du langage à leurs enfants. Elles ne considèrent pas qu'il existe une technique ayant pour but d'enseigner le langage à leurs enfants. «*La seule méthode possible, qu'elles ne considèrent d'ailleurs même pas comme une méthode, c'est la* ***parole naturelle*** *adressée à leur(s) enfant(s). C'est un*

processus naturel *où la mère s’adresse spontanément à l’enfant dans la langue qu’elle connaît*». C. Freinet (2001: 141).

Nous sommes d’accord avec les propos de C. Freinet; nous considérons que la mère ne doit pas appliquer de progression scientifique dans l’apprentissage des règles de grammaire et du lexique. Ce qui est important, c’est d’offrir à l’enfant un modèle linguistique, en lui parlant, et un modèle comportemental, en le socialisant par des rituels. J.-P. Cuq, I.Gruca (2003: 253). Le modèle langagier que lui offre son entourage lui donne la possibilité de réfléchir, de déduire des régularités langagières, de répéter et d’imiter les sons de la langue R. Sabria (1995: 212). Ainsi, l’enfant s’approprie des manières d’agir encodées par la culture où il naît. L’entourage ne cesse d’apprendre au tout-petit à parler et à agir sans jamais lui donner de «leçon».

Les parents ont un rôle très important dans la transmission du langage et de la culture à leurs enfants et c’est un rôle dont ils sont généralement très peu conscients. Ils savent que parler avec leurs enfants est bon pour eux et ils le font F. Leconte (1998: 110).

On ne peut pas éviter à l’enfant de passer par une période de tâtonnement naturel (gestes mal coordonnés d’une chaise à l’autre, paroles mal prononcées). L’entourage doit être patient et aider l’enfant à apprendre peu à peu à marcher, courir, se retourner, lever les deux bras en même temps et parler. J. Bruner (1987: 304).

L’idée de suivre une méthode consistant à décomposer les mouvements ou le langage de l’enfant, selon une certaine logique, avec une progression méthodique et pré-établie n’est pas possible, c’est une théorie qui ne peut pas être appliquée.

III. Le bain langagier et l’apprentissage dialogique

Tous les enfants ne parlent pas au même âge, mais ils suivent tous à peu près les mêmes étapes pour apprendre à parler. Les moyens naturels d’apprentissage du langage de l’enfant sont le bain langagier et l’apprentissage dialogique. D’abord, le bain langagier renvoie à toutes les paroles que l’enfant entend autour de lui, sans qu’elles lui soient adressées. Par exemple, lorsque la mère parle avec une voisine l’enfant sera le témoin de ce dialogue et peut-être va-t-il pouvoir en retenir quelques mots. Puis, selon R. Delamotte (2001: 189) «*L’apprentissage dialogique se fait dès la naissance. L’entourage attribue à l’enfant un statut de locuteur, avant même qu’il puisse produire des paroles articulées*» Par exemple, lorsque l’enfant se réveille pendant la nuit et pleure, la mère peut s’adresser à lui par cette question «tu as faim mon chéri?». L’enfant se rend compte très vite que les sons qu’il émet (pleurs, gémissements, rires)

produisent des réactions langagières chez les personnes qui l'entourent. « *Au début c'est en criant qu'il demande de l'attention de la part de son entourage. Il annonce ainsi que quelque chose ne va pas: faim, température, vêtements trop serrés, etc. Toutes ces manifestations entraînent des interrogations chez ceux qui gardent l'enfant et des constatations de la part de ceux-ci. C'est une sorte de théâtre monologué et en même temps avec des intentions dialogiques que la mère et l'enfant essaient d'établir»* C. Freinet (2001: 90). Par exemple, la mère pose des questions au tout-petit, même si c'est toujours elle qui donne des réponses à sa place. «Tu as besoin d'être changé? (elle vérifie) non, pas encore … Qu'est-ce que tu veux alors, mon chéri?».

La personne langagière qui va devenir l'enfant se construit à partir des interactions langagières, dont il est l'interlocuteur (même passif). D'après F. Genouvrier (1992: 314), le rôle de l'entourage joue un rôle fondamental chez l'enfant, c'est de transmettre à l'enfant des instruments de parole à travers les échanges langagiers avec lui.

Dans l'apprentissage dialogique, il existe deux étapes successives, pour le progrès langagier: les épisodes interactifs et les tours de parole.

On parle d'épisodes interactifs dès la naissance. La mère parle à l'enfant en le regardant et il regarde son interlocuteur à son tour, donc il y a tous les prémices de ce qui est indispensable dans un dialogue. Au début l'enfant dort beaucoup (jusqu'à 20 heures par jour). Quand il est réveillé, il «babille» en même temps que sa mère lui parle. Il y a collision. L'enfant ne sait pas respecter les tours de parole. Petit à petit l'enfant commence à respecter les tours de parole; il va écouter lorsqu'on lui parle, ainsi il va attendre son tour pour reprendre son babil (autour de 4 – 5 mois). R. Delamotte (2001: 201).

IV. Le rôle de la mère dans les premiers échanges communicatifs

En pratique, dès la naissance, le bébé peut reconnaître la voix de sa mère entre toutes, parce qu'il entendait déjà la même voix quand il était dans son ventre. Dès qu'il naît, il communique par le regard avec sa mère. Ainsi, il montre déjà un désir actif de communication. Lorsqu'il sourit pour la première fois, sa mère a le bonheur d'une première réponse aux sourires et aux paroles qu'elle adresse à son enfant, elle entre en relation avec lui.

Ce qui se passe entre la mère et l'enfant ou entre l'entourage et l'enfant, ce n'est nullement de l'apprentissage guidé. Il y a pourtant de la part de l'environnement humain et de celle de l'enfant des stratégies dans la transmission et l'acquisition du langage. Ces stratégies peuvent être plus ou moins intégrées dans la conscience de la mère et de l'entourage; la mère sait par

exemple qu’une atmosphère de bonne entente dans la maison va rassurer l’enfant et favoriser ses progrès langagiers. L. Dabene (1994: 75).

Il y a aussi, de la part de l’enfant, des stratégies que les chercheurs ont petit à petit remarquées. Avant tout, l’enfant perçoit la sonorité de la langue dans laquelle son entourage lui parle, il enregistre la musicalité des sons et les contours intonatoires de cette langue. Quand il commence à parler, l’enfant prononce d’abord des syllabes isolées, par exemple /pa/, /ma/, /ba/, qu’il relie après dans des groupes syllabiques, comme /papa/, /mama/. A cette étape, la mère commence à offrir à l’enfant, outre les échanges langagiers courants, des «morceaux» de langage, qu’elle considère comme étant appropriés aux possibilités de prononciation de l’enfant. En lui offrant ces «morceaux» de mots isolés, elle accompagne chaque mot par une désignation explicite (soit de la main, soit du regard) de l’objet ou de la personne visée. Ainsi encouragé, l’enfant s’approprie un «bagage» de quelques mots (entre 6 et 10 mots), qu’il sera capable d’utiliser vers l’âge d’un an ou plus tard en regroupant des mots deux à deux, par exemple: /papa parti/.

Quelques mois plus tard, l’enfant commence à fabriquer des phrases incomplètes, mais intelligibles en contexte qui renvoient à ce qui est proche. Nous citons de E. Genouvrier. (1992: 34) le paragraphe suivant qui renforce cette idée: *«Les premiers mots renvoient toujours à ce qui est proche: les jouets, la famille, les événements qui rythment la journée, les parties du corps dont la dénomination forme un jeu rituel entre les parents et l’enfant»*.

Les premiers mots de l’enfant ne sont d’habitude pas très bien prononcés. Ces premiers mots prononcés avec des difficultés sont repris dans le cadre familial dans leur forme correcte. Les parents reprennent le langage de l’enfant, le corrigent et lui donnent de cette manière l’occasion d’être reconnu comme individu ayant son identité langagière. A la suite de la reprise de ses paroles l’enfant aura l’occasion d’entendre la bonne formule et il la reproduira. Avec le temps il réussira à prononcer les mots de mieux en mieux. C. Freinet (2001: 425-427).

L’enfant qui ne parle pas très tôt rassure cependant ses parents par l’attention qu’il accorde aux actes de langage qui lui sont adressés, ainsi que par la richesse de ses gestes, mimiques et par l’expressivité de son regard.

V. Le rôle des routines communicationnelles dans l’acquisition de la parole

Entre 9–10 mois, l’enfant commence à se rendre compte des **routines communicationnelles**, entre lui et sa mère. Ces routines sont des moments rituels, des moments où la mère répète presque les mêmes gestes et les mêmes mots (par exemple elle répète les mêmes mots en préparant l’enfant pour le

sommeil, la promenade). En s'habituant à des échanges quotidiens qui suivent un rythme régulier (petits dialogues, récits, chansons, jeux, poèmes) l'enfant se sentira en sécurité et sera à même de prédire le déroulement de ces échanges. Ainsi, il pourra être lui-même capable à un moment donné de demander à réécouter des récits, poèmes, etc., qu'il connaît. R. Delamotte (2001: 312-317). Par exemple; si on habitue l'enfant à écouter des petites histoires avant de s'endormir, au bout d'un certain temps, il va demander lui-même qu'on lui raconte une histoire.

VI. Le processus naturel et général d'acquisition du langage

Ce qui est important dans l'évolution de la complexité de ces échanges entre l'enfant et son entourage, c'est l'adaptation mutuelle qui a lieu continuellement entre les possibilités de l'enfant, en tant que locuteur, et le «matériel» linguistique que les parents offrent à leur enfant. D. Tautelle (1984: 156). Cette adaptation est présente dans les paroles adressées directement à l'enfant.

Les progrès se feront en présence de deux types de langage: l'un adapté aux possibilités de réception et de production de l'enfant (évaluées par l'environnement humain), qui est du langage simplifié, et l'autre, vernaculaire, utilisé dans le milieu où l'enfant vit. En adaptant leur langage à celui de leur(s) enfant(s) et en parlant autour d'eux, les parents donnent à leur(s) petit(s) les moyens d'apprendre à s'exprimer.

L'enfant n'apprend pas par simple imitation, mais se fabrique une représentation de ce qu'il reçoit en tant que langage. L'important n'est pas d'utiliser une méthode scientifique d'enseignement du langage, mais simplement de parler avec notre enfant.

Vers l'âge de 2 à 3 ans l'enfant devient capable de «bricoler» avec les mots qu'il repère dans son entourage. A cet âge, il se rend compte qu'il y a des régularités dans la langue, qui lui permettent petit à petit de déceler le sens de mots nouveaux. J. Piaget (1974: 415).

L'enfant va lui-même commencer à créer des mots, c'est une période d'invention de mots qui, souvent, ne figurent pas dans le dictionnaire, mais ces mots pourraient y apparaître, car ils font partie d'une certaine logique de la langue que l'enfant commence à saisir. Par exemple, en se saisissant des régularités qui nous permettent de dire «refroidir», l'enfant peut construire lui-même un mot, comme «rechaudir», au lieu de réchauffer, comme dans cette phrase: *«Cette clémentine elle est trop froide, tu peux la rechaudir?»*. D. Taulette (1984: 64).

A cette période correspondent des explications de la part des parents sur la langue: «on ne dit pas comme ça, on dit comme ça». Parfois les mots «inventés»

par l'enfant suscitent le rire des parents. Si l'enfant rit lui aussi, c'est qu'il est conscient qu'il a fait un «jeu de mots». L'absence de son rire montre que les mots qu'il a inventés sont des mots qu'il jugeait «normaux». En voyant qu'il suscite le rire de son entourage, l'enfant surpris remarque qu'il y a quelque chose d'étrange dans sa façon de dire. J. Piaget (1974: 430-432).

Au terme des 5 ou 6 premières années de sa vie, l'enfant va être capable de réviser la grammaire enfantine qu'il s'était lui-même procurée, et de dégager la plupart des exceptions grammaticales de la langue qu'il parle. Ces révisions et vérifications des règles qu'il élabore sont possibles grâce au fait qu'il pose des questions, qu'il reformule ce qu'il a dit, lorsqu'il voit que son message ne «passe» pas. E. Genouvrier (1992: 192).

VII. La stratégie pour aider l'enfant à devenir un interlocuteur

Si on ne peut donc pas parler d'une méthode d'enseignement qui se donne pour but de faire apprendre le langage aux petits enfants, on peut observer qu'il existe une stratégie commune dans toutes les langues du monde, celle d'adresser la parole à l'enfant. Cette stratégie est tellement simple et à la portée de tous les parents qu'on peut l'appeler «méthode naturelle» d'apprentissage d'une langue. C. Freinet (2001: 356).

Dans l'acquisition du langage, il y a un étayage, un soutien de la part de l'entourage qui doit parler avec le petit enfant. Quand ils offrent ce soutien à leur enfant, les parents ne pensent pas à des méthodes scientifiques pour le faire. Ils n'ont qu'une seule préoccupation, c'est celle de communiquer avec lui, et donc d'offrir à leur enfant un statut d'interlocuteur. H. Wallon (1977: 281).

Entre le langage qu'on offre à notre enfant et ce qu'il peut comprendre et produire lui-même, il y a un équilibre qui se trouve toujours en mouvement. Avec le temps et l'accumulation d'expériences langagières, l'enfant fait des progrès auxquels l'entourage assiste avec joie. Les progrès de l'enfant permettent à cet entourage de continuer d'élargir la sphère linguistique utilisée à l'intention de l'enfant C. Freinet (2001: 405f).

Enfin, nous éduquons notre enfant en lui donnant les moyens culturels d'entrer en communication avec les autres.

Conclusion

Il est à noter que la notion de langue maternelle est difficile à définir strictement, à cause, d'après J-P. Cuq (2006:150-151) «*de son épaisseur historique, de ses déterminations plurielles et de ses connotations étendues*». Son emploi le plus courant nous renvoie à la combinaison de deux séries de facteurs: l'ordre de l'acquisition et l'ordre du contexte. Il s'agit de dénommer

ainsi la langue acquise la première par l'enfant dans un contexte où elle est aussi la langue utilisée au sein de la communication. Le caractère naturel, spontané de son usage, l'aisance dans son maniement, apparaissent comme des traits définitoires de la langue maternelle.

La puissance de cette expression se nourrit des dimensions affectives que suppose le rapport au langage de la relation mère/enfant et, dans le registre ethnosociologique, des problèmes liés à l'appartenance communautaire et à la construction identitaire.

A notre avis, quel que soit le milieu familial où l'enfant naît, ce dernier va apprendre à parler selon cette méthode, qui est «la méthode naturelle». Ce qui est intéressant, c'est que cette méthode n'échoue pas: si l'on parle à l'enfant il va finalement réussir à s'approprier le langage.

Nous considérons que l'enfant est actif et toujours curieux d'apprendre des choses nouvelles. Cette ouverture facilite la tâche aux parents et à l'entourage. Les jeux, les récits, le dialogue sont autant de moyens naturels et à la portée de n'importe quel parent. Ces moyens donnent à l'enfant la possibilité d'apprendre sans même se rendre compte de l'effort qu'il produit.

Enfin, il faut laisser à l'enfant le temps de tâtonner, de chercher, pour apprendre et s'approprier le langage, et être patient. Les parents donnent ainsi à leur(s) enfant(s) la possibilité de se sentir comme un des interlocuteur(s) reconnu(s) dès la naissance, mais ils devront attendre patiemment plusieurs mois avant que les premiers mots de l'enfant ne surgissent. Ces mots sont d'habitude très attendus et accueillis par les parents comme un gros cadeau de la part de l'enfant.

Sans aucun doute, il s'agit là d'une récompense pour les parents. Ils récoltent ainsi les fruits des efforts qu'ils ont fournis pour créer les meilleures conditions d'acquisition du langage et de la parole par leur(s) enfant(s).

Pour conclure, nous pouvons affirmer que l'acquisition de la langue maternelle chez l'enfant se passe tout d'abord par l'imitation des adultes qui renforce cette capacité d'acquisition chez l'enfant. En fait, les enfants commencent l'acquisition de la langue maternelle dès et même avant la naissance. La capacité de compréhension, chez les enfants, va plus vite que leur capacité de production. Ainsi, il est à noter que l'objectif de l'approbation de la langue maternelle est d'arriver à la communication selon ses règles et conditions qui sont différentes d'une culture à une autre et que l'enfant doit acquérir afin d'intégrer une communauté donnée. Nous avons aussi remarqué que le langage adressé par l'adulte à un enfant se diffère du langage adressé par un adulte à un autre adulte. Les différences relèvent principalement d'une simplification. Le

premier type de langage découvert par l’enfant est celui de sa mère et de son entourage qui participent à la construction de ses compétences langagières.

En fin de compte, on peut donc appeler une langue maternelle une langue qui, acquise lors de sa première socialisation et éventuellement renforcée par un apprentissage scolaire, définit prioritairement pour un individu son appartenance à un groupe humain et à laquelle il se réfère plus ou moins consciemment lors de tout autre apprentissage linguistique.

Il ne faut pas oublier de souligner le rôle de l’école dans la poursuite de l’acquisition des langues chez les enfants et de l’acquisition des règles de communication et donc de socialisation de l’enfant. Enfin on doit noter que l’enfant ne doit pas se contenter de répéter ce que disent les adultes-modèles mais bien de construire par lui-même avec l’aide de l’adulte de réelles compétences langagières et c’est là le point essentiel du rôle de l’adulte dans l’approbation de la langue maternelle chez l’enfant.

تطور اللغة الأم عند الأطفالِ

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ملخص

تناقش هذه الدراسة مسألة تطور اللغة الأم عند الأطفال، وتحاول أن تجيب على تساؤلات منها، هل تكمن وراء عملية التعلم تلك أساليب علمية، أم أنها تُكْتَسَبُ بطريقة طبيعية. فتخيلوا أن أُمًا تُلَقِّنُ طِفْلَها منذ اليوم الأول من ولادته كلمةً او عبارةً معينة يومياً، فقد يقود ذلك إلى طريقة في التَعَلُّم تكون فيها عملية التطور في اكتساب اللغة اصطناعية، فلا يمكن نتيجة لذلك ان يحقق أي تطور في تعلمه للغته الأم. وسنحاول في هذه الدراسة بيان أهمية السياق العائلي والإنساني للطفل في بنائه اللغوي، وتطوره العقلي ونموه الفكري، فالأطفال في سنة عمرهم الثالثة يصبحون قادرين على إيجاد نوىً للغتهم الأم.

* **The paper was received on Feb. 11, 2009 and accepted for publication on Jan. 7, 2010.**

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De l'Elégie Antique A l'Elégie Romantique

Mohammad AL Zou'bi *

Résumé

Sous le vocable d'élégie, on désignait, dans l'Antiquité, un poème écrit en distiques élégiaques, (pentamètre + hexamètre dactylique) quel que soit le thème qui avait inspiré son auteur. La littérature française, avec ou après la Renaissance, en restreignit le sens à l'expression lyrique de la tendresse, toujours mêlée quelque peu de tristesse; de l'amour, souvent non payé de retour, souffrant, voire désespéré par la disparition de l'être aimé; de la douloureuse constatation de la brièveté du temps et des choses humaines.

Certes, on peut penser que c'est là un genre moins noble, par exemple, que l'épopée, dans la mesure où il ne chante pas l'action et, à plus forte raison de grands et beaux exploits, mais est plutôt un regard attendri ou apitoyé sur l'intime. Pourtant, dans notre siècle d'apparente extériorisation de tout, où rien ne paraît plus secret, où le moindre "blog" dit, semble t-il, tout sur tout, cette poésie de communion affective entre celui qui écrit et ceux qui le lisent, voire qui, sur scène, le disent, pratique qui est en train de revenir en force, n'est-elle pas un élément encore essentiel de la littérature?

C'est, en tout cas, ce qui a suscité notre intérêt, si bien que c'est la raison pour laquelle nous avons souhaité soumettre à l'analyse le parcours du mode poétique de l'élégie, de la Grèce à la fin du Romantisme.

"La plaintive élégie": ces mots de Boileau évoquaient, au dix-septième siècle, un genre lyrique exprimant les émotions humaines les plus largement partagées, thème qui a retenu notre attention et que nous proposons aux lecteurs d'explorer avec nous.

1- Origine du mot et raisons de notre choix:

1. A. *Le dictionnaire historique de la langue française* nous indique ceci: *élégie*, est un emprunt (1500; on dira plus loin que la date de référence n'est pas innocente) au latin, lui-même pris de grec. "Elegos" est le chant de deuil et l'on y retrouverait le grec "legein": dire, réciter, et plus particulièrement des poèmes. Mais le mot serait plus vraisemblablement, un emprunt à l'Asie Mineure.

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L'auteur de l'article dans *le dictionnaire historique* ajoute:

- que le nom est donné à un poème grec ou latin (nous y reviendrons) généralement de tonalité mélancolique.
- que par extension, le mot s'emploie pour toute œuvre dont le thème est la plainte, qu'au XVIIIèm siècle, il est dit au figuré et au pluriel comme synonyme de "lamentation", et qu'en musique, il correspond à un morceau en mineur (1ère apparition en ce sens en 1854).Cette tonalité mélancolique qui vise à chanter la joie mêlée de tristesse devant la brièveté de tant de choses comme la douleur, le deuil, la perte, donc un lamento sur un mode mineur, conviendrait peut-être à notre forme de sensibilité. Peut-être la musique un peu aigrelette, tirée du roseau, comme animée par un vent soufflant sur des espaces plus ou moins désertiques, est-elle celle qui, depuis la Haute Antiquité, sait parler à notre âme pour dire que, souvent, sous l'apparence ludique d'un visage volontairement souriant -les autres n'ont pas à supporter notre peine - se cache une tristesse que seuls, confient à des regards attentifs, les yeux, ces "miroirs de l'âme" pour parler comme au Grand Siècle.

Et c'est en ce sens que l'oeuvre élégiaque à travers les siècles, celui des Romantiques en particulier, nous touche, fait vibrer en nous une corde sensible, celle du sentiment de mélancolie.

1.B/ L'élégie chez les Grecs et les Romains:

1-**Chez les Grecs:**

Elle apparaît au début du VIIème siècle AV. J.C.. Elle associe deux vers en un distique: un pentamètre et un hexamètre. Mais, à cette époque, elle n'est pas seulement une "poésie de la plainte": elle peut même être guerrière, exhorter au combat, et n'est alors élégie que parce qu'elle est chantée avec accompagnement de flûte "elegn", le roseau en arménien, tiré du phrygien, donc d'Asie Mineure à l'époque.

Pourtant, elle peut aussi être d'inspiration amoureuse comme chez Mimnerme (630-600 av. J.C.), un Ionien, qui chante ses amours difficiles avec la joueuse de flûte Nanno, et la brièveté de la vie:

"Pour nous, comme les feuilles que fait pousser le printemps, lorsque s'accroît l'éclat du soleil, semblables à elles, nous jouissons des fleurs de la jeunesse, sans avoir appris des dieux où est le bien où est le mal… Nous jouissons peu de temps de nos jeunes années, de même que le soleil brille peu de temps sur la terre." [(1)]

Il faudrait mentionner encore l'œuvre élégiaque du législateur Solon, mais il nous semble que celui-ci n'avait choisi l'élégie comme mode d'expression que parce que la forme du distique élégiaque permettait, par son apparence de maxime([2]), de retenir la pensée philosophique, morale et politique de l'auteur.

2-Chez les Romains:

La mesure est encore celle du distique dit élégiaque, par exemple chez Ovid (Les Tristes):

Dōnĕc ĕ/rīs fē/līx ‖ mūl/tōs nŭmĕ/rābĭs ă/mīcōs

Tēmpŏră / sī fuĕ/rīnt ‖ nūbĭlă/sōlŭs e/rĭs.

Ce qui veut dire:

"Tant que tu seras heureux, tu compteras beaucoup d'amis; si les temps se couvre de nuages, tu seras seul."[(3)]

Et le ton est bien celui d'un pessimisme las. C'est déjà le rythme impair qui sera si cher à Verlaine.

Les auteurs essentiels sont:

a) Catulle (cf.supra) (85-53 av. J.-C.) qui dit son amour pour Lesbie:

"Je hais et j'aime. _Comment cela se fait-il? demandez-vous peut-être._Je l'ignore; mais je le sens, et c'est là un supplice.",[(4)]

mais aussi sa peine de la mort de son frère, enseveli sur la côte de Troie, en Asie Mineure.

b) Tibulle (50-19 av. J.-C.) qui chante sa passion mélancolique pour Délie:

"Le jour m'est amer, l'ombre m'est plus amère encore."[(5)]

c) Properce (47-15 av. J.-C.) qui clame le "fallax opus" (le pouvoir trompeur) qui le lie à Cinthia. Il se livre cependant d'autant plus à l'amour qu'il pense à la mort:

"Aussi, quand même le destin t'accorderait une longue vieillesse, tes restes chéris seraient encore arrosés de mes larmes. Oh ! Si tu pouvais sentir sur mes cendres les mêmes feux ! Alors le trépas perdrait pour moi toute son amertume."[(6)]

d) Ovide (cf.supra) (43 av.-17 après J.C.) qui célèbre une Corinne, sans doute fictive mais touche d'avantage quand il est exilé par Auguste en 8 après.J.C. sur les bords désolés de la Mer Noire, appelée Pont-Euxin (Mer bienveillante) par détournement euphémique:

"Oh ! Combien de fois, dégoûté de vivre si longtemps, n'ai-je pas désiré de mourir de sécheresse ! Combien de fois n'ai-je pas souhaité d'être renversé par l'ouragan en furie, ou violemment frappé de la foudre ! …"[7]

Son cri plaintif sera, plus tard, celui des Romantiques européens, le chant solitaire de Chateaubriand par exemple.

2- L'élégie dans la littérature française

2.A. L'élégie est remise en honneur à la Renaissance:

La Renaissance met l'homme au centre de sa réflexion, sans pour autant gommer la pensée de Dieu, mais voulant dire les joies et les peines, les amitiés, les deuils, la fuite du temps. L'art n'est plus "ancilla theologiae" (servante de la théologie) mais trouve son plein sens dans tout ce qui dit l'homme.

A la fin du Moyen Age, **François Villon** exprimait déjà des sentiments mélancoliques avec, par exemple, "La ballade des dames du temps jadis": ex.1ère strophe:

"Dites-moi où, n'en quel pays,

Est Flora la belle Romaine,

Archipiades, ne Thaïs,

Qui fut sa cousine germaine,

Echo, parlant quant bruit on mène

Dessus rivière ou sur étang,

Qui beauté eut trop plus qu'humaine?

Mais où sont les neiges d'antan?" [8]

Mais c'est **Marot (1496-1544)** qui donne vraiment le ton maintenant, dès le début de ce siècle qui, s'il veut dire celui de la volonté, chose nouvelle, de profiter et de jouir de la vie terrestre, fut aussi, pour cette raison même, celui qui dit, souvent et de façon émouvante, sa mélancolie du temps qui fuit.

Marot (Rondeau) –extrait–:

"Au bon vieux temps un train d'amour régnait

Qui sans grand art et dons se démenait,

Si qu'un baiser, donné d'amour profonde (si=si bien que)

C'était donné toute la terre ronde…

Or est perdu ce qu'amour ordonnait."[9]

Du Bellay (1522-1560) est particulièrement caractéristique et la forme du sonnet à l'italienne est parfaitement adéquate à ce qu'il exprime. Maladif, orphelin, délaissé par son tuteur (comme le sera plus tard G.de Nerval), doit suivre à Rome (1553-1557) son cousin, le cardinal, et les 191 sonnets publiés en 1558 disent, pour la plupart ses émotions douloureuses. Ce sont "Les regrets", recueil rythmé par: "Las"! et/ou "Hélas"!. Citons par exemple:

«Las ! Où est maintenant ce mépris de fortune? (=du sort)
Où est ce cœur vainqueur de toute adversité,
Cet honnête désir de l'immortalité,
Et cette honnête flamme au peuple non commune?» (*Regrets*, VI)[10]

«Las ! Tes autres agneaux n'ont faute de pâture,
Ils ne craignent le loup, le vent, ni la froidure:
Si ne suis-je pourtant le pire du troupeau.» (*Regrets*, IX)[11]

«… Las ! Et nous cependant nous consumons notre âge
Sur le bord inconnu d'un étrange rivage, (étrange=étranger: il est en Italie)
Où le malheur nous fait ces tristes vers chanter.» (*Regrets*, XVI)[12]

Ronsard (1524-1585), lui aussi, exhale sa douleur, dit sa plainte:

- <u>sur la nature saccagé</u>:

« Ecoute, bûcheron, arrête un peu le bras !
Ce ne sont pas des bois que tu jettes à bas;
Ne vois pas tu le sang, lequel dégoutte à force,
Des nymphes qui vivaient dessous le dure écorce?
Sacrilège meurtrier, si on pend un voleur
Pour piller un butin de bien peu de valeur,
Combien de feux, de fers, de morts, et de détresses,
Mérites-tu, méchant, pour tuer nos déesses? » (*Elégies*, XXIV (V.19-68))[13]

- <u>sur la fuite du temps</u>:

- «Las !voyez comme en peu d'espace,
Mignonne, elle a dessus la place,
Las, las ses beautés laissé choir !

O vraiment marâtre Nature,

Puisqu'une telle fleur ne dure

Que du matin jusques au soir ! » (*Odes*, I, 17)[14]

- <u>sur la mort</u>:

«…Ainsi, en ta première et jeune nouveauté,

Quand la terre et le ciel honoraient ta beauté,

La Parque t'a tuée, et cendre tu reposes.

Pour obsèques reçois mes larmes et mes pleurs,

Ce vase plein de lait, ce panier plein de fleurs,

Afin que, vif et mort, ton corps ne soit que roses.» (*Amour de Marie*, II, 4)[15]

« …Le temps s'en va, le temps s'en va, ma dame;

Las ! le temps, non, mais nous nous en allons,

Et tôt serons étendus sous la lame;

Et des amours desquelles nous parlons,

Quand serons morts, n'en sera plus nouvelle.

Pour c'aimez-moi cependant qu'êtes belle. » (*Pièces retranchées des "Amours"*)[16]

Mais lui insiste sur la nécessité, pour pallier cette brièveté du temps qui nous est imparti, ce temps de la jeunesse et de la beauté vite enfuies, de profiter de l'instant: c'est le "carpe diem" ("cueille le temps").

2. B. XVII ème et XVIII ème siècle:

Au XVIIème siècle:

Le «libertin» Théophile de VIAU (1590-1626) voudrait bien, dit-il «demeure[r] ferme» «sur les plaisirs» mais il sait que si, l'hiver,

«Tous nos arbres sont dépouillés,

Nos promenoirs sont tous mouillés

L'émail de notre beau parterre

A perdu ses vives couleurs;

La gelée a tué les fleurs;

L'air est malade d'un caterre[17],

Et l'œil du ciel, noyé de pleurs,

Ne sait plus regarder la terre.»,

Au printemps, la nature reviendra, ce qui n'est pas le cas pour les humains ! ("Poèmes divers")[18]

La Fontaine (1621-1695), déplore en particulier le fait que l'amitié ni l'amour ne sont parfaits. (Cf."*les deux pigeons"IX.2, "L'ours et l'amateur des jardins" VIII.10*)("Fables") et que les hommes ne savent pas se comporter face à leurs désirs:

-d'argent cf. *"le savetier et le financier" VIII,2("Fables")*

-de pouvoir beaucoup de fables le disent, cf. "*le lion et le moucheron*" *XIX, 2* ("*Fables*"), "les membres et l'Estomac", *II, 3* ("*Fables*")

ni devant la mort: cf. *"la Mort et le Mourant"(VIII.1.)("Fables")*

«… Un mourant qui comptait plus de cent ans de vie,

Se plaignait à la Mort que précipitamment

Elle le contraignait de partir tout à l'heure,

Sans qu'il eût fait son testament,

Sans l'avertir au moins. Est-il juste qu'on meure

Au pied levé? dit-il: attendez quelque peu.

Ma femme ne veut pas que je parte sans elle;

Il me reste à pouvoir un arrière-neveu;

Souffrez qu'à mon logis j'ajoute encore une aile.

Que vous êtes pressante, ô Déesse cruelle ! »[19]

Au XVIIIème siècle:

André Chénier (1762-1794), le seul grand poète du XVIIIème siècle sans doute, a d'abord écrit, inspiré par la littérature grecque, qu'il aime à la passion, des *Elégies* et des *Bucoliques* assez conventionnelles, même si « la jeune Tarentine » est un beau texte.

« Pleurez, doux alcyons[20], ô vous, oiseau sacrés,

Oiseau chers à Thétis[21], doux alcyon pleurez.

Elle a vécu, Myrto, la jeune Tarentine[22]… »[23]

Mais c'est surtout emprisonné sous la terreur, attendant la mort (il sera guillotiné 2 jours avant la chute de Robespierre, le 7 Thermidor An II = 25.07.1794) qu'il s'attendrit sur le sort de tous/toutes ceux et celles qui, comme lui, vont mourir trop jeunes et injustement.

« La jeune Captive » strophe 1:

« L'épi naissant mûrit de la faux respecté;

Sans crainte du pressoir, le pampre[(24)] tout l'été

Boit les doux présents de l'aurore;

Et moi, comme lui belle, et jeune comme lui,

Quoi que l'heure présente ait de trouble et d'ennui[(25)],

Je ne veux point mourir encore. » [(26)]

2.C. Au XIXème Siècle:

Tous les grands poètes parlent d'eux-mêmes, de leur vie, de leurs crises existentielles, de leurs passions. Cette tradition élégiaque se nourrit des influences anglaises(Gray/Young etc…) et/ou allemande (les poètes mais aussi le peintre Friedrich.) mais c'est Lamartine qui, en poésie, publie le premier chef d'œuvre: « Je suis le premier qui ai donné à ce qu'on nommait la Muse […] les fibres mêmes du cœur de l'homme, touchées par les innombrables frissons de l'âme et de la nature. » (*Préface* des *Méditations Poétiques*) et Musset dira « Sachez-le, c'est le cœur qui se fond, c'est le cœur qui s'étend, se découvre et respire. » (*Namouna* 1832 II 4)

Le romantique préfère la sensibilité, l'imagination, à la froide raison; il exalte le moi, un moi bouleversé par les passions, souvent douloureuses, il éprouve profondément sa différence, presque son exclusion. Il est hanté par tout ce qui, dans la nature, dans l'homme, rappelle la mort. Après les théoriciens -qui sont souvent aussi des romanciers-: (comme Madame de Staël qui, dans « *De l'Allemagne* » dit « l'incomplet de la destinée », le « besoin d'échapper aux bornes qui circonscrivent l'imagination », « le dégoût de l'existence » qui, cependant « peut inspirer de grandes beautés de sentiment »[27] et mis en œuvre ces notions dans son roman "Corinne", ou Benjamin Constant, qui vécut une liaison orageuse avec elle et en tira un roman autobiographique "Adolphe" et fut aussi homme politique) [28], après Senancour, dont le roman épistolaire « Oberman » est d'une infinie tristesse, après le grand maître de la prose que fut Chateaubriand et dont les pages d'"Atala", de « René » ou des « Mémoires d'Outre-Tombe » ont marqué tant de générations, les poètes nous disent leurs émotions, plus souvent peines que joies.

Lamartine (1790-1869) connaît un grand succès, en 1820, avec les "Méditations Poétiques", dont « Le lac » (strophe 2):

« O lac ! l'année à peine a fini sa carrière,

Et près des flots chéris qu'elle devait revoir,

Regarde ! je viens seul m'asseoir sur cette pierre

Où tu la vis s'asseoir "[29]

Ou « Le Vallon » (strophe 1):

« Mon cœur, lassé de tout, même de l'espérance,

N'ira plus de ses vœux importuner le sort;

Prêtez-moi seulement, vallon de mon enfance,

Un asile d'un jour pour attendre la mort. »[30]

Mais Lamartine, comme Victor Hugo, s'en remet à Dieu: « le chêne » (deuxième des « Quatre Grandes Harmonies »), (strophe finale):

« Et moi, je dis: « Seigneur, c'est toi seul; c'est ta force,

Ta sagesse et ta volonté,

Ta vie et ta fécondité,

Ta prévoyance et ta bonté !… »[31]

Alfred de Vigny (1797-1863) publie « Les Destinées » rédigées à partir de 1838. Le titre est, à lui seul, évocateur. Dans « La Maison du Berger », il s'adresse à « Eva » (sans doute l'actrice Marie Dorval), l'âme-sœur, mais l'entendra t-elle?:

« Nous marcherons ainsi, ne laissant que notre ombre

Sur cette terre ingrate où les morts ont passés;

Nous nous parlerons d'eux à heure où tout est sombre,

Où tu te plais à suivre un chemin effacé,

A rêver, appuyée aux branches incertaines,[32]

Pleurant comme Diane au bord de ses fontaines,

Ton amour taciturne et toujours menacé. »[33]

Victor Hugo (1802-1895)

Le 4 septembre 1843, Léopoldine, la fille aînée du grand poète se noie avec son mari. La douleur du père est immense, et reste d'abord muette. Puis 13 ans passent avant qu'il publie à nouveau; ce sont alors *les Contemplations* où il exprime son amour pour l'enfant disparue, son déchirement, mais aussi ce qui le rapproche, plus qu'avant encore, de tous ceux qui souffrent:

«… Moi je cherche autre chose que ce ciel vaste et pur.

Mais ce saphir sombre est un abîme obscur ! » (IV, 10)

La mort de Léopoldine marque un tournant dans sa vie, le blessant jusqu'au fond du cœur. Elle «…fait du poète un aveugle, nouvel Homère; le lyrisme ne se confond plus avec le déchiffrement de l'univers, il prend son sens le plus simple: il chante l'âme au plus près du sentiment éprouvé, la douleur d'être désormais absent au monde et à soi »[34]. C'est bien ce que disent en effet les vers d'*Aujourdhui*, la seconde partie des *Contemplations:*

« Maintenant que mon temps décroît comme un flambeau,

Que mes tâches sont terminées;

Maintenant que voici que je touche au tombeau

Par le deuil et par les années,

Et qu'au fond de ce ciel que mon essor rêva,

Je vois fuir, vers l'ombre entraînées,

Comme le tourbillon du passé qui s'en va,

Tant de belles heures sonnées:… » (V,13)

Gérard de Nerval (1808-1855)

Né à Paris en 1808, il ne connut pas sa mère, morte en Allemagne où elle avait accompagné son mari, médecin des armées de Napoléon. Mélancolique, attiré par la poésie romantique, il compose très tôt des *élégies*. Le rêve joue un grand rôle dans son inspiration et sa vie… jusqu'au moment où, progressivement, en particulier après un voyage en Moyen-Orient qui fera que, dorénavant, il croira à la métempsychose. Il sombrera dans la folie et se suicidera un matin de janvier 1855 (on le trouvera pendu à un réverbère). Pour lui, "le rêve est une autre vie" et l'entraîne vers le passé, comme dans ce sonnet célèbre des "chimères" (1854):

El Desdichado

« Je suis le ténébreux, — le veuf, — l'Inconsolé,

Le prince d'Aquitaine à la tour abolie:

Ma seule *étoile*[35] est morte, — et non luth constellé

Porte le *soleil* noir de la *Mélancolie*. »[36]

El Desdichado est le mystérieux chevalier du tournoi dans le roman anglais de Walter Scott, "Ivanhoé", qui avait beaucoup marqué et inspiré les Romantiques. Son nom peint sur son bouclier veut dire "le déshérité": Nerval le rapproche de lui-même, aussi mystérieux, lui aussi " ténébreux"; il se dit "veuf" parce qu'il a aimé une femme, une actrice, Jenny Colon, morte en 1842, et qui ne l'a pas aimé; d'où "l'inconsolé". Au vers 2, "la tour abolie" est une allusion au fait que le chevalier du roman avait été dépossédé de ses terres, et, au vers 3,

"l'étoile" représente "les deux moitiés d'un seul amour": Adrienne, une belle jeune-fille un peu mystérieuse, et Sylvie, la petite paysanne du Valois, région au nord de Paris où elle avait été élevée par son oncle. Le chevalier avait son bouclier, l'écu, le poète a son "luth". Enfin "le soleil noir" dit bien la "mélancolie", puisque "kolos", la bile est "mélan": noir, donc "l'humeur", ce fluide dont on a longtemps pensé qu'il était de ceux qui, circulant dans le corps humain, entraînent tel ou tel trait de caractère, est sombre, déréglé.

On pourrait citer aussi la 1ère strophe de « Fantaisie »:

« Il est un air pour qui je donnerais

Tout Rossini, tout Mozart et tout Weber(37);

Un air très vieux, languissant et funèbre,

Qui pour moi seul a des charmes secrets. »(38)

On voit que Nerval, comme le dira Verlaine, - cf. l'extrait du poème qui suit: "Art poétique", - ne conçoit pas la poésie sans musique.

«… De la musique encore et toujours !

Que ton vers soit la chose envolée

Qu'on sent qui fait d'une âme en allée

Vers d'autres cieux à d'autres amours.

Que ton vers soit la bonne aventure

Eparse au vent crispé du matin

Qui va fleurant la menthe et le thym…

Et tout le reste est littérature. »(39)

Il faut citer **Alfred de Musset (1810-1857)** encore, en particulier dans les « Nuits »: ex. « Nuit de Mai » strophe 4

« …Pourquoi mon cœur bat-il si vite?

Qu'ai-je donc en moi qui s'agite

Dont je me sens épouvanté?

Ne frappe t-on pas à ma porte?

Pourquoi ma lampe à demi morte

N'éblouit-elle de clarté?

Dieu puissant ! tout mon corps frissonne.

Qui vient? qui m'appelle? _ Personne.

Je suis seul; C'est l'heure qui sonne;

O solitude ! ô pauvreté ! »(40)

Ou dans « Lucie » qui raconte l'amour de Tiburce pour Georgina, morte au couvent; Tiburce va se donner la mort:

«… Mes chers amis, quand je mourrai,

Plantez un saul au cimetière,

J'aime son feuillage éploré,

La pâleur m'en est douce et chère,

A la terre où je dormirai. »[41]

Puis, avec le temps, le mot et le genre commencent à lasser; on ne veut plus de confession… Cependant, Verlaine, même s'il essaie d'être vraiment parnassien, impersonnel donc, a encore, malgré tout, bien des caractéristiques de l'âme et de la voix élégiaques: sensibilité, goût d'une musique en mode mineur pour dire ses inquiétudes, ses tourments. C'est par exemple « Chansons d'automne » (in: "fêtes galantes")

« Les sanglots longs

Des violons

De l'automne

Blessent mon cœur

D'une langueur

Monotone… »[42]

Ou « Ariettes oubliées » (in: "Romances sans paroles")

« Il pleure dans mon cœur

Comme il pleut sur la ville…

O triste, triste était mon âme

A cause, à cause d'une femme… »[43]

Et, bientôt, ce sera Apollinaire, lequel se déclare « l'enfant de Verlaine », qui soupirera ses peines de "Mal Aimé", dans « L'Adieu » par exemple. ("Alcools"):

"J'ai cueilli ce brin de bruyère

L'automne est morte souviens-t'en

Nous ne nous verrons plus sur terre

Odeur du temps brin de bruyère

Et souviens-toi que je t'attends" [44]

Mais ce mélange de musique doucement mélancolique, de douleurs murmurées comme en confidence, ne correspondrait-il pas, dans notre siècle de haute technologie, dans ce monde des affaires, de l'argent, des corruptions et des désillusions, au sentiment de tous ceux qui, manifestant un certain retrait vis-à-vis de la vitesse, du "tout action", préfèrent l'intime, l'intériorisation, la lenteur propice à la réflexion, voire à la méditation et pourraient dire, comme Du Bellay ("Les Regrets"):

«… Je pleure mes ennuis

Ou, pour le dire mieux, en pleurant je les chante

Si bien qu'en les chantant, souvent je les enchante." … Pour les faire "disparaître" ou plutôt se transformer en beauté par la magie de l'art?

Somme toute, l'élégie, loin, bien loin, d'être signe de mièvrerie, nous semble donc être la marque de la volonté affirmée, par et dans l'acte d'écrire, de transmuer la souffrance en beauté par la magie de l'art, pour l'apaisement intime du scripteur et le plaisir du lecteur.

Nous ne voulons pas conclure cette simple étude avant de revenir aux caractéristiques principales de l'élégie à travers les siècles:

Le mot "Elégie" vient de la Grèce antique et veut dire, littéralement, "chant de deuil". En Grèce antique, l'élégie n'était pas un genre littéraire, mais une forme. C'est un poème composé de distiques élégiaques (un hexamètre et un pentamètre). Elle a traité des thèmes très divers mais impersonnels: la philosophie, la morale, le sentiment amoureux, la guerre, la politique, la douleur. (Solon, Mimnerme). A l'époque romaine, avec des poètes comme Ovide, Catulle, Tibulle, Properce et Ovide, l'élégie devient un style, une façon de vivre, de penser d'être, qui fait émerger un point de vue individuel. Elle se spécialise plutôt dans le domaine amoureux.

L'Elégie s'est renouvelée à partir du XVIe siècle, avec une définition non plus formelle, mais thématique et tonal: elle devient un poème lyrique, mélancolique et méditatif. On peut citer Ronsard, Du Bellay, Théophile de Viau, La Fontaine, Chénier. Par la suite, des romantiques ont écrit des élégies sur le deuil, d'autres ont penché leurs sentiments après une rupture sentimentale. Des grands poètes comme Lamartine, Musset, Hugo et Nerval, même s'ils n'ont pas donné à leurs poèmes le titre d'Elégie, ont fait de même.

L'élégie est toujours pratiqué, mais d'une manière plus libre: le seul critère qui demeure: le thème (ou la tonalité) de la mélancolie.

"من المرثاة القديمة الى المرثاة الرومنسيّة"

محمد الزعبي، قسم اللغات الحديثة، جامعة آل البيت، المفرق، الأردن.

ملخص

لقد كانت لفظة "مرثاة" تعني في العصور القديمة، القصيدة الرثائيّة الثنائية الأبيات (دستيك)، خُماسيّة وسداسيّة التفاعيل، أيا كان الموضوع الذي ألهم مؤلفها. أما الأدب الفرنسي في عصر النهضة أو بعده فقد حصر دلالتها بمعنى التعبير الغنائي عن الحنان الممزوج بشيء من الحزن، والحب الذي لا يجد في الغالب مقابلا له (من طرف واحد) بل الحب البائس نتيجة غياب (موت) الحبيب، وامتزاج هذا الشعور بالإدراك المؤلم للزمن الهارب وزوال البشر.

يمكن بالطبع أن نرى في هذا جنسا (نوعا) أدبيا أقل نبلا من الملحمة مثلا حيث انه لا يتغنى بالأفعال والمآثر الكبرى،بل هو على الأرجح، نظرة عطف أو شفقة حول المسائل الحميمة، مع ذلك، فان القرن الذي نعيش فيه، حيث يتجلّى إظهار ما في الداخل وانه لم يعد ثمة إسرار وحيث أقل مدونَه تقول كل شيء، ألا يمثّل شعر البوح العاطفي الذي يربط بين الكاتب والقارئ،أو من يلقيه على خشبة المسرح(الممارسة العائدة للظهور بقوّة) عنصرا جوهريا من عناصر الأدب؟

على كل حال، هذا ما أثار اهتمامنا، ودفعنا إلى تحليل مسار النمط الشعري الرثائي، منذ الإغريق وحتّى الرومانسيّة.

* The paper was received on May 27, 2008 and accepted for publication on Oct. 15, 2009.

Notes

1 L' Antiquité Grecque et Latine, "Mimnerme, Poésie - III ", Philippe Remacle, Ph.Renault, François-Dominique Fournier, J.P.Mauria, et Thierry Vebre, *L' Antiquité Grecque et Latine,* http://remacle.org/bloodwoolf/poetes/Mimnerme/ poésies. Htm, (consulté le 1er septembre 2007).

2 maxime: forme qui permet de dire le plus de choses possibles dans le moins de mot possible.

3 Itinera Electronica: De texte à l' hypertexte, "Ovid, Les Tristes, Livre I, Elégie 9", *Itinera Electronica*, http://agoraclasse.fltr.ucl.ac.be/concordances/Ovid-tristesI/lecture/9.htm>. (consulté le 3septembre 2007)

4 Itinera Electronica: De texte à l' hypertexte,"Catulle, Poèmes_81-90", *Itinera Electronica*,http://agoraclasse.fltr.ucl.ac.be/concordances/Catulle-poemes/lecture/defaut.htm>. (consulté le 3 septembre 2007).

5 Itinera Electronica: De texte à l' hypertexte,"Tibulle, Elégie,Livre II, Elégie IV", *Itinera Electronica*, http://agoraclasse.fltr.ucl.ac.be/concordances/Catulle-poemes/lecture/defaut.htm>. (consulté le 5 septembre 2007).

6 L' Antiquité Grecque et Latine, "Properce, Elégie, Livre I, Elégie 19", Philippe Remacle, Ph.Renault, François-Dominique Fournier, J.P.Mauria, et Thierry Vebre, *L' Antiquité Grecque et Latine,* http://remacle.org/bloodwolf/poetes/Properce/Livre I. htm>. (consulté le 6 septembre 2007).

7 Wikisource contributors, "Le Noyer", Wikisource, http://fr.wikisource.org/w/index.php?title=Le Noyer&oldid=432264 (consulté le 4 Octobre 2007).

8 Poésie Française, "François Villon, Ballade des dames du temps jadis", *Webnet,* http//poesie.webnet.fr/ (consulté le 11 novembre 2007).

9 André Lagarde et Laurent Michard, *Les Grands Auteurs Français du programme Anthologie et histoire littéraire: XVIèm siècle* (Paris, Bordas, 1985), 17.

10 *Ibid.*, 110.

11 *Ibid.*, 111.

12 *Ibid.*, 112.

13 *Ibid.*, 127.

14 *Ibid.*, 139.

15 *Ibid.*, 141.

16 *Ibid.*, 142.

17 (= catarrhe: rhume, bronchite)

18 André Lagarde et Laurent Michard, *Les Grands Auteurs Français du programme Anthologie et histoire littéraire: XVIIème siècle* (Paris, Bordas, 1985), 45.

19 Jean de La Fontaine, *Fables:* présentées par Alain-Marie Bassy (Paris: Flammarion, 1995), 230.

20 Alcyon: oiseau de mer

21 Thétis: divinité marine, une des Nérécides

22 Tarente: port de l'Italie méridionale, la grande Grèce.

23 Wikisource contributors, "La Jeune Tarentine", *Wikisource* http://fr.wikisource.org/w/index.php?title=La_Jeune_Tarentine&oldid=307175 (consulté le 14 septembre 2007)

24 Pampre; pour la vigne, donc le raisin, symbole de vie

25 d'ennui: le terme a un sens très fort à l'époque.

26 Wikisource contributors, "La Jeune Captive", *Wikisource,* http://fr.wikisource.org/w/index.php?title=La_Jeune_Captive&oldid=307173 (consulté le 14 septembre 2007)

27 Cité par André Lagarde et Laurent Michard, *Les Grands Auteurs Français du programme Anthologie et histoire littéraire: XIXème siècle* (Paris, Bordas, 1985), pp 19-20.

28 - *Ibid.*, 22.

29 André Lagarde et Laurent Michard, *Les Grands Auteurs Français du programme Anthologie et histoire littéraire: XIXème siècle* (Paris, Bordas, 1985), 88.

30 *Ibid.*, 96.

31 *Ibid.*, 102.

32 Figure: hypallage = transfert du sentiment ("l'incomplet de la destine") sur un objet, neutre par nature.

33 Alfred De Vigne, *Poèmes antiques et modernes Les Destinées*, Préface de Marcel Arland (Paris: Gallimard. 1973), 164.

34 Gabrielle Chamarat, *VICTOR HUGO: Les Contemplations*. collection dirigé par Claude AZIZA, (Paris: Pocket, 1998), 20.

35 L'italique est mis par l'auteur lui-même.

36 Lagarde et Michard, *XIXème siècle*, 274.

37 Weber prononcé à la française "wèbre".

38 Lagarde et Michard, *XIXème siècle,* 273.

39 *Ibid.*, 511.

40 *Ibid*., 213.

41 *Ibid*., 211.

42 *Ibid*., 506.

43 *Ibid*., 509.

44 Wikisource contributors, "L'Adieu (Apollinaire)", Wikisource http://fr.wikisource.org/w/index.php?title=L%E2%80%99Adieu_%28Apollinaire%29&oldid=350819 (consulté le 19 septembre 2007).

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The Artist's Predicament in Hawthorne's Story 'The Artist of the Beautiful'

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Abstract

The following is an attempt to explore the image of the artist in Nathaniel Hawthorne's story 'The Artist of the Beautiful'. It begins with giving a brief idea about the general conceptions held about the artist and the nature of his activities. The rest of the paper is devoted to showing the various manifestations of the story, particularly the appreciation and depreciation he/she encounters in daily life from individuals and community.

Initially, there is a need to justify the present attempt in reading a text that belongs to the nineteenth century with the concomitant amount of criticism written about it and its writer. The significance of the present reading lies in the great emphasis laid on the critical and aesthetic postulates emanating from the text. The study pays much attention to the critical dimensions associated with Owen's position in New England and the various moments of elation and setbacks he encounters.As a text exclusively devoted to pinpointing the position of the artist in society and the problematics of this relationship, Owen's final status is typical and representative in his continuous triumphs and frustrations, in moments of appraisal or depreciation. He has to come to terms with all these as something inescapable about which he cannot do anything. In this regard, the British novelist John Fowles reminds us that the text comprising an artist can cover three main areas: ' to describe the outer world; his next is to express his feelings about that outer world, and his last is to express his feelings about himself" (Fowles, 179).The last point in this quote holds true to Hawthorne as he tries to establish a critical stand concerning this activity. The story is replete with statements about this issue and actually predates the contemporary arguments about art and artistry. At the moment a brief citation from the story is given in order to support the view adopted here that the story combines the critical and creative skillfully, 'From St. Paul's days down to our poor little Artist of the Beautiful, the same talisman had been applied in the words or deeds of men who

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spoke or acted too wisely or too well' (Hawthorne, 646). In another situation, the nameless narrator stresses the precarious relation between the artist and his environment which is a reciprocal one,

In Owen's case the judgment of his town people may have been correct. Perhaps he was mad. The lack of sympathy—the contrast between himself and his neighbors which took away the restraint of example—was enough to make him so' (p.646).

No doubt the critical tone here overlaps the fictional one and the author's voice is more outspoken. The rationale, then, behind the choice of this material is to shed more light on the artist-community relationship and its underlying themes. Above all, the study investigates how the critical tones are intermingled with the creative ones.

Many are those dramatic and novelistic texts that choose as their main topic the artist's predicament, idiosyncrasy, and his/ her dealings with the outside world and ceaseless psychological conflicts. Any survey of such works inevitably covers a huge number of writers from different generations and places. Shakespeare's *The Tempest* is a representative one. In the Victorian age and Twentieth century there are landmarks that can not escape the discerning eye: Henry James's ' The Figure in the Carpet', Franz Kafka's 'A Hunger Artist', Ernest Hemingway's 'The Snows of Kiliomanjaro', John Fowles's *The Magus*,Thomas Mann's *Dr.Faustus*,Anthony Burgess's *Inside Mr.Enderby* and above all Lawrence Durrell's gallery of artists, *The Alexandria Quartet*. Such texts are often the products of minds that have a first-hand experience of the mechanism of the creative process, its concomitsant reactions both on the practitioner's part and the community's, its ins and outs and above all its costs and sacrifices. Such writings with their theoretical probing of one's own work usually haunt the artist's imagination at a very late stage in one's life after having been involved in the intricacies and problematics of art and its precarious terrain. It is in accordance with these terms that one finds such writings often tinged with a subjective and speculative touch. To choose an artist as the protagonist provides the author with a vantage point for perceiving, appraising and dissecting his artistic interests, conflicts, misgivings as well as those baffling circumstances surrounding him/her. A text of this sort provides the author with an opportunity for fusing the objective and subjective elements so that at the end the story talks about the predicament of the artist and the types of preconceived attitudes held about him/her.

However, before dealing with Nathaniel Hawthorne's treatment of this intricate topic in his short story and how it runs in the mainstream of writings channeling in this direction, it is apt to raise the urgent question pertaining to the

nature of art, and what sort of person the artist is. No doubt these questions represent the heart of the matter in 'The Artist of the Beautiful'(1844). Hawthorne's predecessors,both ancient and modern, such as philosophers, aestheticians, and creative writers have sought to figure out the slippery or mystifying side of the artistic process. Among these balks large the name of the poet/critic S.T. Coleridge whose Kubla Khan (1797-8) typifies the duality of pleasure and pain, recognition and apprehension inherent in the artistic enterprise. Such is the pleasure derived from the Abyssinian maid's playing on her musical instrument (dulcimer) that the poet or his surrogate can erect domes in the air. The reaction of those surrounding him is a mixture of awe, admiration and apprehension,

That with music loud and long,
I would build that dome in air,
That sunny dome! These caves of ice!
And all who heard should see them there,
And all should cry, Beware! Beware!
His flashing eyes, his floating hair!
Weave a circle round him thrice,
And close your eyes with holy dread,
For he on honey dew hath fed,
And drunk the milk of Paradise.(Lines 45-54)

In general Edmund Wilson sums up the merits and demerits of art as perceived by its practitioners and recipients in society in his reference to the classical myth of The Wound and the Bow (p.1) which gives in a nutshell the social need for the artist and at the same time apprehensions about his imaginative flights breaching of the normal and conventional. It is the myth of Philoctetes whose long sufferings because of illness and banishment to the black island are intolerable. However he has a bow 'that never missed its mark' (p.244).The bow has been given to the demigod, Heracles, by Apollo. This is indeed the summary of the artist's critical situation, swaying between recognition and repulsion, admiration and apprehension. Joseph Conrad gives his verdict on art and its exuberating role in life when he says that,' Art may be defined as a single-minded attempt to render the highest kind of justice to the visible universe, by bringing to light the truth, manifold and one, underlying its very aspect' (Conrad, 1991, 3).

From a psychological viewpoint, the Swiss psychiatrist Carl G. Jung problematizes the matter in such a way as to strip the artist of any individual aspect. His argument centres on the impersonal quality of the artist's effort, or to quote his phrase, it is simply 'an impersonal creative process' (p.176) in that the

artist is the willless means of reflecting the collective unconscious of the race. Indeed the testimonies of many creative writers, Hawthorne's included, enhance this weighty Jungian rationalization of the artistic drive and its terrible grip on so many people. The contemporary Columbian novelist Gabriel Garcia Marquez argues to this effect in his testimony about how he has been implicated in the intricacies of art,

> I began writing by chance, perhaps only to prove to a friend that my generation was capable of producing writers. After that I fell into the trap of writing for pleasure and then into the trap of discovering that there was nothing in the world I love more than writing.(Mendoza,25)

The art/life duality expounded by Marquez here has already been summed up in Yeats's dictum in his poem "The Choice" stating that 'The intellect of man is forced to choose /Perfection of the life or of the work' (Yeats, 296).Nearly all writers opt for the second alternative despite its painstaking costs and frustrations, for both conscious and unconscious reasons. The repercussions of this process have been utilized by artists to explore a further much intimate topic: their own suffering and grappling with the written word or other artistic means of expression. Examples abound here. In his short poem, 'The Rest', Ezra Pound expounds the great amount of misconception and depreciation artists often smart under, 'Artists broken against her,/A-stray, lost in the villages/Mistrusted, spoken-against,/Lovers of beauty, starved,/Thwarted with systems/Helpless against the control…/Hated, shut in, mistrusted' (Pound, 92-3). The series of sufferings and frustrations Pound elaborates in his poem are true. However, one has to add that there is a special type of pleasure and self-satisfaction that only art can provide its practitioner with. So this ambivalent attitude towards art and its bitter-sweet situation is the only rationale behind pursuing its endless adventures and thorny routes.

If Freud has referred to the 'neurotic' side or 'psychotic personality' (Hayman, 145) behind the artistic drive, he does not veer very much from the painful fact that what the artist wants or practices does not often run in parallel lines to the dictates of society. Hence ostracism or virtual exile is often his lot as an inevitable price to be paid for the authentic and genuine art. This is because the artist's mood and concept of life usually differ from the common and acceptable. It is left for the critic Upward to epitomize the artist's disposition and romanticize it when he says that he (the artist) is 'the last delicate bud that sprouts from the tree of man…the slender wire that rises from the receiving station to catch the unseen image coming across the sea from an unseen continent' (Upward, 240).The outcome of this incompatible or unequal

confrontation between the artist and his insensible milieu is inevitably a unique psychological state whose main matrix is 'unhappy' and 'compulsive' (Doyle, 112).

The striking thing about the artist's position in such creative texts is his sturdy faith in his choice and adamant sense of challenge as will be shown in the following pages about Hawthorne's protagonist and his endless pursuit of the perfect and the beautiful as things inimitable and invaluable. All other concerns and temptations seem marginal and tiny in comparison with the overriding image of aesthetic beauty. Keats tells us in his 'Endymion, Book 1, that 'A thing of beauty is a joy forever:/Its loveliness increases; it will never/Pass into nothingness' (Keats, 61).As a practitioner of art-for-art's sake, Keats seems preoccupied by the exhilarating role of art in man's life as seen in the following lines from his renowned "Ode on a Gercian Urn", ' Beauty is truth, truth beauty---that is all/ Ye know on earth, and all ye need to know' (Keats, 224). Here the poet does not exaggerate the real ecstasy the artist entertains and remains exclusively his own. It is this sort of ethereal pleasure that James Joyce meditates and is ready to sacrifice his family's peace, his own eyesight and health for the sake of pursuing its seducing allurements and uncanny rewards as felt in his *A Portrait of the Artist as a Young Man* (1916) and *Ulysses* (1922).His fellow Irish writer, Oscar Wilde verbalizes this Joycean endeavor in his statement 'To become a work of art is the object of living'(Wilde,292).The life-sustaining role of art is stressed once again in Wilde's view that,

> We would each one of us be wearied if Art, with her fine spirit of
> choice and delicate instinct of selection did not,as it were,purify
> it for us, and give to it a momentary perfection.(ibid., 344)

Needless to add, too much engrossment in the world of art and its aesthetic beauty is not a common phenomenon if we recall that there are many artists who are socially and morally committed in addition to their search for pleasure and beauty. Nathaniel Hawthorne, though fully steeped in the art-society dialectics, brings home the irresistible temptation of art and writing. As he puts it, 'By some witchcraft or other…I have been carried apart from the main currents of life and find it impossible to get back…I have secluded myself from society…I have not lived, but only dreamed about living' (quoted by Early, 235).The tone of regret here at such deterministic misfortune is self-evident. Also this testimony is indicative of how art can possess its practitioners and strip them of many daily interests and joys.

'The Artist of the Beautiful' traces the precarious position of the artist in a community (New England's Puritan society) and its preconceived views about anything transcending the common and traditional. There is always a sense of awe and apprehension concerning the main character's practices and interests.

By implication the individual unrestrained freedom is seen to be fearful and suspect. Art, as we know, hinges and thrives on the notion of boundless freedom and divergence from the common. Hence the tacit and disquieting tension between the artist (the young watchmaker, Owen Warland) and many of the lethargic and insensible people surrounding him. As will be shown in the following pages, the details of the story typify the failure or reluctance of the community to respond positively or at least sympathetically to the artist's initiative and grasp what he/she is after. This inescapably inflicts much harm on the artist's morale and his social sense as the polarization between the two often becomes too sharp and unbridgeable. As it turns out, the main trait of the artist of this story is his sensitive mood and highly perceptive understanding of life and its glamour. Interestingly, many slices of his community respond favorably to his art. Nevertheless, those who are close to him and whose judgment he takes into consideration are lukewarm or even indifferent to his uncommon visions. This predicament has been diagnosed by George Santoyana elsewhere in his laconic comment that it is 'the alienation of the intellect from the milieu' (quoted by Manning, 103).This alienation is inevitable as there are few things in common between the artist and his insensible surroundings.

Although the main line of action in the story is the artist- community relation, it develops equally interesting topics such as professional rivalry, the physical-intellectual, the common-exceptional, and innovative-traditional. This multiplicity of topics and meanings emanating from Hawthorne's short story even in its limited size drives the reader to have some reservations about J. Hillis Miller's sweeping judgment that all Hawthorne's stories are simply 'idle weeds and withering blossoms…old faded things, reminding me of flowers pressed between leaves of a book' (p.59). In this story there are vivid situations, people and attitudes that crystallize the main topic of the story, i.e., the artist-community.

Irrespective of the different and contradictory critical reactions, the fact remain that 'The Artist of the Beautiful' is a story invested with a personal or biographical touch (or may be it is the most personal of all his works in its stark comment on the problematic situation of the artist in an indifferent and utilitarian world as felt in the unanimous critical stand concerning this matter). Hawthorne's lashing of a 'materialistic' society (Meserole, 336) has become a catchword for critics and researchers investigating his artistic and intellectual world. By means of his persona, the young watchmaker and the nameless narrator siding with him and apologizing for him, Hawthorne expresses his intellectual stand regarding the disputable position of the artist. This is a last-ditch defence against all the allegations and attempts to underrate the artist's efforts and feats. As one of Hawthorne's critics aptly puts it, in this parable or

sketch Hawthorne 'speaks directly and in his own person' (Matthiessen, 224) as regards this very touchy side in the American writer's career. Choosing a craftsman embodying the most outstanding traits of a full-fledged artist necessitates a reference to Hawthorne's reasons or justifications behind dealing with a topic whose social dimensions are not that prominent. Indeed the subjective aspect is all that counts although its social context is not ruled out altogether. Here he records one of his most intimate affairs as an artist and man. He is quoted to be saying about his early experiences and dreams,' I do not want to be a doctor living by men's diseases, nor a minister living by men's sins, nor a lawyer living by their quarrels. So I don't see anything left out but be an author' (quoted by Bolton, 541). Indeed 'The Artist of the Beautiful' celebrates and registers minutely those moments and sensations accompanying this rare experience of perceiving what happens in the mind of the artist smarting under all types of intellectual and social pressures and misconceptions. The few events and situations in Hawthorne's story are simple but adequate for shedding ample light on the artist's dilemma. There are a few characters that are deftly manipulated to reveal the artist's setbacks and frustrations in addition to his mounting sense of isolation. However, his alienation is not willful, planned or meant by the character in question as a result of 'the tendency to reject the human bonds of love and respectability' (Inge, 129).Rather, it is the other way around. The protagonist, Owen, does his utmost best to get integrated in society and be loved and appreciated by the only woman in the story, the daughter of his former master in watch making, Annie. If she disappoints him in failing to recognize his gift, his explanation is note-worthy: she lacks the love and dedication he has towards his art and craft. As he puts it,' Even Annie Hovenden, possibly, might not have disappointed him had she been enlightened by the deep intelligence of love'(p.645). All these efforts prove to be of no avail. The story ends not only in losing his sweet heart for the ruthless blacksmith, but also he finds the product of his ingenious thoughts and meditation completely and hopelessly subverted.

The story revolves around the young watchmaker and his unprecedented attempts of innovation in the fabric and design of clocks and watches. In his early days Owen Warland has worked as an apprentice for the now retired watchmaker, Peter Hovenden. Through retrospect and a series of shots and recollections, it transpires that the two watchmakers have totally different concepts of watch making and its layout. Hovenden is a typical New Englander who is content with the practical and utilitarian. In his mind there is no room for creative imagination and ingenious devices. All this seems to the conformist mere faddish nonsense. In short he is living in full harmony with all the dictates and rules of his limited environment. He knows nothing of the psychological disorders accompanying real artistry and innovation. His chances for joy and

inner peace are secured. His daughter's reaction is different in that she perceives that Owen possesses something characteristic and exceptional 'Perhaps, father', said Annie, without showing much interest in the question, 'Owen is inventing a new kind of timekeeper. I am sure he has ingenuity enough' (p.640).In other words she belongs to the other category in society which partially appreciates the artist's distinction and ingenuity. However, she is a typical New Englander when it comes to matters of marriage. Indeed she chooses the practical and physically powerful blacksmith. She proves to be honest to her background, although the heart sometime tends to another different direction. These painful situations in the story will be clarified in the following pages.

In total contrast to this, Owen entertains certain ambitious dreams and thoughts that are too half-perceived and nebulous to be set in advance before embarking on his meticulous task of updating the formal and aesthetic qualities of clocks and watches. Such a mentality is expected to arouse the jealousy of his master, Hovenden, and the curiosity of the whole community in which he lives. The extent of misunderstanding besetting the young artist is due to the fact that there is a growing rift between tradition represented by Hovenden and innovation represented by the artist, between the static and kinetic. What the old watchmaker as a representative of a conservative society fails to perceive is the role of the intuitive and visionary in the artist's profession and life. This quality at last attracted the attention of the establishments and the highbrows of his community and drove them to appreciate and evaluate highly its unique essence. Owen's work, which is superbly imaginative, can not be fully subjected to common sense and rationality. This is so because we recall the position of the real artist as a ' mediator between the world of experience and the world of dreams and his task is to re-embody in one image elements from these two worlds' (Baker, 81). The old master is very surprised to find that his own apprentice, despite his relatively short experience, is actually matching, if not surpassing, his own work in which he takes much pride. His surprise springs from the fact that Owen takes his work too seriously and is intent upon it day and night with an inexhaustible industry,' these six months past I have never come by his shop without seeing him just as steadily at work as now' (p. 640).

Annie's generally positive attitudes can only arouse adverse reactions on her father's part as seen in his derogatory view that 'his ingenuity could not grasp anything bigger than a child's toy' (p.640). It is amidst these polar oppositions concerning the role of the artist that the narrator's sober voice reminds the reader about the artist's invaluable role. In contrast to these, the narrator's sagacious and sympathetic judgment settles the matter in bringing home Owen's ingenuity. Actually he puts an end to all other adverse reactions and detractions,

From the time his little fingers could grasp a penknife, Owen had been remarkable for a delicate ingenuity which sometimes produced pretty shapes in wood, principally figures of flowers and birds and sometimes seemed to aim at the hidden mysteries of mechanism. (p.641)

To substantiate the story's point of view, the author devotes much space to the narrator's intrusions and speculations which only succeed in highlighting the artist's position and the great extent of misunderstanding surrounding Owen's enterprise. The following quotation is helpful in showing the narrative aspect of the story and how the author manipulates all the facilities at his disposal for representing the virtual alienation of such individuals immersed in an uncommon idea or project, intellectual or artistic, the character of Owen's mind was microscopic, and tended naturally to the minute, in accordance with his diminutive frame and the marvelous smallness and delicate power of his fingers[…] The beautiful idea has no relation to size and may be so perfectly developed in a space too minute for any but microscopic investigation. (p.641)

This device of putting the artist in contrasting situations with others (Hovenden, and to a less extent, Annie) is once again felt through the remarkable differences in mood, understanding and interests between the artist and the blacksmith, Robert Danforth. Indeed the danger of this man is greater as he represents a typical foil for the artist and his interests. Worse still, he proves to be a successful rival in Owen's love to Annie, whom he succeeds in marrying at last. Robert is very proud of his physical power that has nothing to do with the abstract and intellectual. Owen's own self-explorations and interior monologues show that Robert does pose a serious threat to Owen's interests, aspirations and dreams. Seen from another angle, such an intimidating and brute force can only arouse Owen's great faith in himself and his enterprise, 'I, too, will be strong in my own way. I will not yield to him' (642).Such harm inflicted by the blacksmith reaches the deep psychological and spiritual levels so that sometimes Owen can not prevent himself from raising doubts about the validity of his choice and its legitimacy.

Heaven! What have I done? exclaimed he, the vapour, the influence of this brute force…it has bedeviled and obscured my perception … I have made the fatal stroke. (p.642)

Although the other characters in the story tend to suspect or even depreciate Owen's efforts and devices, many social circles never fail to evaluate these efforts and give them their due respect. The author's recurrent ruminations shed light on this fact as felt in the following example,

Owen Warland was invited by the proper authorities to
regulate the clock in church steeple. He succeeded so

> admirably in the matter of public interest that... the town
> in general thanked him.(p.643)

Such moments of self-esteem and extreme joy are transient and short-termed since those with whom he is in direct touch betray adverse reactions and intensify his bafflement. His artistic distinction can turn into a terrible charge by those narrow-minded people, who perceive in his acts a sort of witchcraft and heresy,

'What have you here? Owen! Owen! There is witchcraft in these little chains, and wheels, and paddles[...]Take you own course, but I warn you again in this small piece of mechanism lies evil spirit. Shall I exorcise him?

'You are my evil spirit[...] You and the hard, coarse world! The leaden thoughts and the despondency that you fling upon me are my clogs, else I shall long ago have achieved the task I was created for. (p.643)

In this oscillation between pursuing the plans and visions swarming in the artist's mind and succumbing to the brute force of the physical and materialistic, the narrator's view once again comes to the rescue of the artist's attitude, which is perhaps the author's own,

> (he) must keep his faith in himself which his incredulous world
> astonishes him with its utter disbelief; he must stand up against
> mankind and be his own disciple, but as respects his genius and
> the objects to which it is directed.(p.642)

This psychological conflict due to the depreciative acts of his former master and his intimidating rival reaches its zenith when Owen finds that his sweetheart has actually opted for the brute and materialistic. Indeed it is in the reference to the relation between the artist of the beautiful and Annie that the extent of the artist's sacrifices is unraveled and stressed. Annie is the real stimulus and drive behind his ingenious inventions and it is her reactions and responses that count for the embittered artist. He has been entertaining the hope that she will recognize and appreciate his life-long project: the butterfly which has 'spiritual essences—call it magnetism or what you will' (p.651). Thus his shock will be the more devastating to realize that she is not different from the rest in her indifference and contempt of the achievement he cherishes most, the object that 'he has instilled all his life into' (p.651). Psychologically she knows very well that can not dream of putting herself on equal footing with him simply because they represent totally different worlds, amid all the wonder and admiration with which she contemplated the marvelous work of his hands and incarnation of his

ideas, a secret scorn—too secret perhaps, for her own consciousness, and perceptible only to such intrusive discernment as that of the artist. (p.650)

The ever-growing chasm separating them here reaches the climax when her infant puts an end to the toil and insomnia of many years. The spiritualized and animated butterfly, the emblem of creativity and meticulous industry, is finally and irreparably destroyed by an unfeeling baby. Ironically enough, the father of this baby is Owen's worst foe and rival.

This is in short the main issue of the story which, as we have seen, is unfurled through the actions and reactions of a limited number of characters. Hawthorne carefully chooses his characters and assigns to each the role of clarifying and manifesting the different layers of the artist's causes of struggle and discontent. Underlying this simple structure of the story there lays a good web of nuances and subtleties that bring the reader to the real essence of the artist's ordeal. The outstanding aspect of Hawthorne's story is its potentiality to combine the factual and metaphoric, local and universal. This multiplicity of the story is partly attributed to its allegorical side and its ability to provide 'enigmas which each reader solves in his own terms' (Bradley, 440). Owen's predicament is not merely a New England situation: rather it is typical and universal in that there are so many artists in this world whose lot is that of lovelessness, isolation, scorn, abject poverty, and deprivation. As such, it is not surprising to find that this short story has been aptly described as 'an allegory of our time' (Carlson, 22).This is because of its expressive and cogent comments on the endless series of bafflements and embitterment the artist has to cope with and acclimatize to. The discontent of daily realty and the artistic pleasure offered by art represent the core of many modernistic fictions in the twentieth century. Among these is Virginia Woolf's *To the Lighthouse*. The following is just an excerpt culled at random from a text entirely devoted to the issue of art and its bitter-sweet worlds,

> Mrs. Ramsay and Lily Briscoe triumph over the chaos of experience; and their triumphs constitute a compellingly positive vision of life and art. But that vision depends upon reductive simplification of the world and a partial withdrawal from life into art.(p.29)

In contrast to many artists who can no longer put up with this painful 'withdrawing' from life eventually may think of 'committing self-destruction' (p.639), Owens's faith in his art and ingenuity remains powerful. He even creates the impression that he will soon embark on another equally ambitious project amidst all the debris and futility of the present. It is enough for the artist of the beautiful that his lifelong dream of making the spiritualized butterfly is capable of eliciting Annie's words of admiration and appraisal, 'Beautiful! Beautiful!', exclaimed Annie, 'Is it alive? Is it alive?' (p.649) Owen's moment of euphoria as

he extracts Annie's favorable words will be reverberated in James Joyce's novel of art and the suffocating and paralyzing milieu of Dublin,*A Potrait of the Artist as a Young Man*. As Joyce's hero, Stephen Dedalus, walks by the stream he suddenly sees the wading girl who represents the epiphany of the novel. It is turning-point in the novel and his career as a whole, since he sees in her the call for art and creativity,

> Now, at the name of the fabulous artificer, he seemed to hear the noise of dim waves and to see a winged form flying above the waves and slowly climbing the air. What did it mean? Was it a quaint device opening a page of some medieval book of prophecies and symbols [...], a symbol of the artist forging anew in his workshop out of the sluggish matter of the earth a new soaring impalpable imperishable being? (p.183)

The present reading of 'The Artist of the Beautiful' has stressed the universal and timeless aspects of Owen's ordeal as a typically dedicated artist. As already indicated, the story has a further biographical, or if you prefer, confessional level on the part of the author himself. Hawthorne gives us his testimony as a witness of an age that glorifies and ennobles the practical and utilitarian. The fiasco of the artist in the story coupled with the undeserved victory of the brute force (the blacksmith) do explicate Hawthorne's stand towards a society that often does not give the artist his due. To be more precise, this is Hawthorne's unequivocal judgment of his myopiac and narrow-minded society that always looks askance at any attempt betraying uncommon originality and innovation. There are authorial interventions that support this hypothesis about Hawthorne's disapproval of or dissatisfaction with such a society.

In fact, Hawthorne has tackled the issue of his insensible and utilitarian community in nearly all his works of fiction. For instance, the main action of his great novel, *The Scarlet Letter*, directly indicts the double-dealing and the striking differences between what is professed in public and what is practiced in secret. The woman's adultery in the novel is actually practiced by the person whose duty in life is to prevent or at least to warn against it. In the interesting story, 'Young Goodman Brown', he shows that the highbrows of society (clergymen, statesmen and judges) are actually involved in secret diabolic practices. Given this glaring fact about Hawthorne's society, it is not surprising to come across a statement of the following type,

> What the prophet, the poet, the reformer, the criminal, or any other man with human yearnings, but separated from the multitude, might feel, poor Owen felt. (p.644)

If we leave aside this unmistakably biographical aspect of the story, its allegorical or symbolic one is equally interesting as it enables the writer to

explore the other potentialities of fiction, i.e. the ability to mingle or fuse the factual with the suggestive or symbolic. The reception theory led by Jaus, Iser,Fish and Ingarden focus on the role of the reader in generating meanings and levels of experience, especially if the text has some understatements. The presence of the butterflies, both real and man-made, represents the core of this important level of the story's structure. In fact the epiphanies in the story and its evolution hinge on these butterflies. For instance, at certain moments in his life Owen feels completely disillusioned and resentful about his unfortunate choices and preferences. He actually seeks the company of drunkards to alleviate the sense of distress and suffocating anger. It is at such a critical moment that an actual butterfly eventually ignites his consciousness to pursue the task to which he is born and preordained. His spiritual euphoria is expressed in very romantic terms,' a butterfly had alighted, and he lost himself in contemplation of it…as if its airy trade would show the path of heaven' (p.645).The butterfly here in its lightness, grace and sense of freedom could stand for the call of art and its offerings to the artist. This is supported by a highly poetic diction which enhances its thematic side. This watershed experience in the artist's life with its promises of a bright future is highlighted and celebrated to the full,

> "Ah"…you are alive again, child of the sun and playmate
> of the summer breeze, after your dismal winter's nap? Then
> it is time for me to be at work! (p.645)

This rare moment in the protagonist's consciousness is of prime significance in the coming stages of his life. Obviously the writer resorts to the explicitly critical tone in order to foreground its implications,

> It might be fancied that the bright butterfly, which had come so spirit-like
> into the windows as Owen sat with the rude
> revelers, was indeed a spirit commissioned to recall him to
> the pure ideal that had etherealized him among men.(p.645)

Not only does Owen stop these practices, to which he is alien by disposition and psychological make up, but he also finds himself in frantic search for these lovely creatures in farms and woods. They will serve as prototypes for his future inventions which will keep his society mesmerized and spell-bound by such an unprecedented invention. Such roamings in the woods and solitary meditations only split his community about his mental sanity or normality. The pathetic failure of Owen's life-like achievements is in line with Hawthorne's moral conviction as a Puritan fully saturated with the doctrines and preconceptions of New England. Not only does this story embody its themes from 'Puritanism' (Chase, 76), but also his other works draw upon this fountainhead for topics and views. The New Critic, Yvor Wniters, argues in the same vein when he stresses the fact that Hawthorne uses a good account 'of the contradictory doctrines of

New England Puritanism' (ibid.74).Owen's plight lies in the fact that he is not only content with what is acceptable and feasible. His aspirations go further than that in his desperate attempt to fulfill what is beyond the reach of ordinary people. Morally speaking, his creativity, though laudable and admirable for so many people, is doomed to be self-destructive and self-annihilating. In one respect, it brings to mind those archetypes of creators and thinkers like Dr. Faustus who have transcended the permissible and eventually perdition is the only thing that lies in store for them,

> In his idle and many days he had considered it possible, in a certain sense, to spiritualize machinery, and to combine with the new species of life and motion thus produced beauty that should attain to the ideal which Nature had proposed to herself in all her circumstances, but has never taken pains to realize. (p.647)

These long moments of meditation and speculation materialize in creating such well-wrought butterflies that even the most discerning spectators can not help crying in disbelief that what they see is artificial "Beautiful! Beautiful![...] Is it alive? Is it alive? (p.649) In twentieth-century British literature, Joseph Conrad manipulates similar symbols in his *Lord Jim*. The butterfly in Conrad's novel is endowed with the same sense of splendor and spiritual joy,

I respected the intense, almost passionate,absorption with which he looked at a butterfly, as though on the bronze sheen of these frail wings, in the white tracings, in the gorgeous markings, he could see other things, an image of something as perishable and defying destruction as these delicate lifeless tissues displaying a splendor unmarred by death. (Conrad, 1995, 187)

Though such reactions of admiration are heartening and exhilarating to the spirit of the artist itching to the recognition of his toil and suffering, they arouse commensurable disapproval and grudge among his detractors and rivals. The allegorical levels of the story do not rest only in the process of creating something extraordinarily beautiful and its positive and negative effects. Creating this life-like butterfly turns into a yardstick or objective correlative for knowing and manifesting the various feelings and conflicts people hold against the artist and the tacit challenge he poses to their self-complacency,

> to the increased astonishment of Annie, when the tip of her father's finger was pressed against that of her husband, on which the butterfly still rested, the insect drooped its wings and seemed on the point of falling to the floor. Even the bright spots of gold upon its wings and body, unless her

> eyes deceived her, grew dim, and the glowing purple took
> a dusty hue, and the starry luster that gleamed around the blacksmith's hand became faint and vanished "It is dying, it is dying!" cried Annie, in alarm.(p.651)

Seen from this perspective, the butterfly turns into a sort of emblem reflecting and embodying the various reactions and hidden feelings of the characters in question as well as their quintessence. As his world does not follow the trodden path of habitualization, Owen's butterfly becomes the emblem or means of explicating the ever-growing distance between the artist and pseudo artists or disclaimers of genuine art and its hazards. It is true that the butterfly is virtually destroyed by Annie's unfeeling infant. But the process of dismantling the artist's dreams and plans has already started much earlier than this critical moment. The psychological war waged against Owen and his futurist projects is ceaseless and takes different manifestations—scorn, humiliation, depreciation, ignorance and cool reactions towards the fruit of lengthy hours of labor and meditation. Perhaps Hawthorne's postulate is that there is no room for such radical artistry and aesthetic breakthrough and perfection. The author's comments and intrusions through the narrator's views contribute to substantiating the story's main postulate about the disparity between the material and immaterial, the physical and the spiritual or aesthetic. Once more the author's ruminations are helpful and deserve to be quoted at some length,

> He knew the world, and Annie as the representative of the world,
> whatever praise might be bestowed, would never say the fitting word nor feel the fitting sentiment which should be the perfect
> recompense of the artist who, symbolizing…moral by a material trifle, converting what was earthly to spiritual gold – had won the beautiful into his handiwork.(p.650)

The striking emphasis on the role of the butterfly in the story and its thematic and aesthetic considerations is a key factor in disambiguating the different levels of the story. The present study has hopefully shown the role of the butterfly in revealing the reactions of those surrounding Owen. What is needed now is to see the parallels and resemblances between these beings and the swift and graceful acts of the artist as he seeks an expression to those visions smoldering in his mind. One of Hawthorne's critics tells us about such similarities in saying that the spiritual stages of the artist 'parallel the stages of the butterfly metamorphosis' (Bassil, 7). In its graceful shifts from one flower to another, the butterfly stands for the artist's restless soul and endless search for what is beautiful and sublime. Owen's continuous pursuit of butterflies in farms suggests the inescapable affinity between the pursuer and pursued: both are restless, delicate and graceful. And above all, they are always in a continuous

state of metamorphosis. In the artist's case, he can transform the mundane into something imperishable and enjoyable.

One of the characteristics of the story is the overwhelming emphasis laid on the artist's viewpoint to the extent that the reader is automatically driven to side with and adopt Owen's own views and concepts regarding life, art and creativity. Those who have raised objections or condemnation of his practices (Hovenden, Robert Danforthand and to a less extent, Annie) appear to be too weak to change the status quo. The reason is obvious enough: Hawthorne actually identifies himself with the artist of the story and finds an outlet for his (Hawthorne's) own bitterness in choosing the verbal art as a living and its hazards. Owen, in short, represents the prevalent point of view in the story.

No matter how we view this short story and its author and the immeasurable frustration of its protagonist, the fact remains that art is the eternally irresistible call that chooses its practitioners or victims, bestowing upon them a different sort of pleasure and spiritual joy. In the mean time art inflicts on them a great measure of persecution and material need. This ambivalent situation of bitterness and joy is the recurrent point in the story which can not escape the discerning eye. Amidst the series of frustrations and buffets the artist's persistence in following up his profession is undoubted. His faith in his craft and inner vision remains essentially sturdy, although often he has his moments of despair and self-defeat. The story's message is evident: art never stops reproducing itself so long as there are people who have the potentiality and readiness to sacrifice their time and energy for its sake. The story has given us the image of the artist in a nutshell: the artist's position underlies a number of contradictory sensations and situations. On the one hand, he feels elated and self-complacent about his artistic achievement, an achievement that has its admirers and supporters in society. On the other, he has to accept his loneliness, misunderstanding and even hostility as part of the sacrifice to be given. The society does crave to the efforts of the artist but at the same time it has qualms about his/her real intentions and the extent of his/her conformity to what is acceptable and normal. The story shows these ambivalent attitudes of the members of the community concerning the artist's efforts. In this brief but highly representative piece of fiction, Hawthorne refers to the real anguishes of writers and artists in his local community and humanity in general. This is because 'a story is always told or written at a given place in a given moment of history' (Walter 12). It is this duality between the wishes of the individual when tested against the dictates and proscriptions of the community that constitutes the main issue of 'The Artist of the Beautiful'. Moreover the question of beauty as perceived by the artist is relative, controversial and at times suspect. What is the value of beauty, one may ask, if the final outcome is poverty and social deprivation and aloofness? The final impression the story

leaves on the reader or recipient is that the artist has to temper down his individualism and remember that his mere presence and value consist mainly in the recognition of his own community and people. Without these, all his efforts and ingenuities remain inadequate and ineffective. There is a need to reconcile the needs of the individual and those of the community, if the inner peace is to be attained. The artist of the story, for all his superb skill and ingenuity, is unable to set a balance between the inner vision and the commitments imposed by other, between the intuitive and rational. This is almost typical in artists in all ages and places.

معضلة الفنان في قصة هوثورن "فنان الجمال"

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ملخص

البحث التالي محاوله لاستكشاف صورة الفنان في قصة ناثانيل هوثورن "فنان الجمال" . يبدأ البحث بتقديم فكره موجزه عن المفاهيم العامة المطروحة عن الفنان وطبيعة نشاطاته . ويكرس الجزء الأكبر من البحث إلى تبيان أوجه القصة المختلفة، خصوصًا ما يواجه الفنان من تقدير أو انتقاص من شأنه في الحياة اليومية من قبل الأفراد والمجتمع.

* **The paper was received on July 15, 2009 and accepted for publication on Oct. 15, 2009.**

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 Vol. 7 No. 2, 2010, pp. 151-173

Code-Switching in the Speech of Native Speakers of Arabic in the United States: Structure and Motivations

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Abstract

The present study investigates the phenomenon of code switching in the speech of native speakers of Arabic living in the United States. Data is analyzed within the framework of the Matrix-Language Frame Model (MLFM). The speech of two groups with distinct educational levels was recorded in informal situations. The purpose of this study is threefold: (i) considering the syntactic categories of the switches for typological comparison; (ii) the motivations behind code switching are then investigated in light of (i); and (iii) explaining the morphological composite of these switches with reference to the MLFM.

1. Introduction

1.1 Overview

The ability to speak two languages i.e., bilingualism is increasingly becoming the norm rather than the exception in any modern society. A bilingual often shifts form one language to the other almost unconsciously in a process referred to as code-switching or code-mixing (Blom & Gumperz, 1972; Castells et al., 2006; Grosjean, 1982; Myers-Scotton, 1990, 1993, 1995, 1998, 2001; Poplack, 1988; Sue, 2003 to name but a few). Bilinguals often switch back and forth between languages in the same utterance. This process takes place frequently and almost unconsciously within a single social event (Sridhar, 1978). In any speech event where the interlocutors are bilingual, code switching is the norm rather than the exception. The two language systems of the bilingual are active simultaneously (Joshi, 1985).

Most scholars use the terms Code Switching (CS) and Code-Mixing (CM) interchangeably while others distinguish between them (Auer, 1999; Kachru, 1978; 1983). A related term as well is that of Borrowing. Code-switching involves the use of two languages in one utterance, whereas the term ‘borrowing’ is used to refer to embedded elements that have been integrated into the host language (Pahta, 2004, reported in Crespo & Moskowich, 2006: 51).

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Haugen (1973: 521) defines code switching as “the alternate use of two languages including everything from the introduction of a single unassimilated word up to a complete sentence or more in the context of another language”. This definition was introduced in order to include single lexemes as possible material available for code switching. Earlier research limited code switching to phrases and sentences (Reyes, 1976). Single lexemes were seen as cases of borrowing that are different from code switching. In his definition of code switching, Haugen (1973) stresses the fact that single words might be subject to code switching. He basically distinguishes between two types of single words from one language used in the context of another: words that undergo the assimilation rules of the host language, and words that resist such rules. The former type constitutes cases of borrowing and the latter cases of code switching (section, 3).

In any situation of code switching, one needs to distinguish between the two types of languages involved. According to Myers-Scotton (1993), CS involves a Matrix Language (ML), which is the dominant language providing most of the morphemes, and an Embedded Language (EL), which is an intruder providing linguistic material to the conversation. A detailed discussion of the two language types and their contribution to the code switching event is presented in section (7) below.

The term ‘bilingual’ will be used loosely here to refer to people who speak two languages with some proficiency. Myers-Scotton (1993) notes that speakers need not be entirely fluent in the EL when they engage in CS. Rather, they need to know some content morphemes from the EL in order to use them in CS, but they do not need to master the system morphemes or phrase structure rules that are necessary to produce well-formed sentences in the EL. They need to be proficient in the EL only if they are to produce well-formed phrases and sentences in the CS situation.

In this paper, we will follow Myers-Scotton’s definition of CS who states (1993: 3) that "code-switching is the selection by bilinguals or multilinguals of forms from an embedded variety (or varieties) in utterances of a matrix variety during the same conversation".

2. Intersentential vs. intrasentential CS

Intersentential CS refers to instances of CS between sentences. A speaker would suddenly switch to the EL after a whole sentence was produced in the ML. Intrasentential CS on the other hand refers to instances of CS within the boundaries of a single sentence. The MLFM is primarily concerned with intrasentential rather than intersentential CS.

3. CS vs. borrowing

Much of the research on CS excludes single lexemes from the discussion as such words are considered cases of borrowing rather than CS. Research on CS was limited to phrases and sentences (Reyes, 1976). Other research has attempted to differentiate between single words that are cases of borrowing and those that are cases of CS. As mentioned earlier, Haugen (1973) suggests that single words that undergo the assimilation rules of the ML are to be seen as cases of borrowing (this is termed 'interference' by Rouchdy (1992)) while those that resist such processes are cases of CS. Others (Poplack and Miller, 1988) still expand on the idea of assimilation, suggesting three levels of integration to differentiate between CS and borrowing. These three levels are phonological, morphological, and syntactic[1]. The notion of 'Interference' or 'Assimilation' within CS is elaborated in section (6.3). However, Myers-Scotton (1993) rejects these differentiations between CS and borrowing and argues that, within an MLFM, instances of CS and borrowing behave the same. The basic difference for her is that borrowed words tend to become part of the speaker's lexicon. They are more readily accessible and tend to be used more frequently. In this paper, we will follow the view that borrowed words are those that have no equivalent in the ML. These basically include place names, specific products, and culture-specific terms.

We believe that a further distinction between cases of CS and cases of borrowing lies in the fact that borrowing is performed by bilinguals and monolinguals alike. The borrowed words become an integral part of the lexical system of the language so much that they are rarely seen as foreign. Examples of such words in Arabic are: internet, virus, computer, CD, radio, telephone, brake, steering, gear, just to name a few. A detailed discussion of such words is beyond the scope of this study and will not be pursued any further.

4. Data

The data used for this paper comes from two sources. The first is a two-hour recording of informal gatherings of six male native speakers of Arabic from Jordan studying at the University of Kansas (henceforth, KU), USA. Their ages ranged from 22-35. Three of them had spent a period of four years in the States, and the other three had spent two years. Five of the six subjects are graduate students and the sixth is a senior undergraduate. The subjects were aware that they were being recorded but were not told the exact purpose of the recordings. They were asked to behave as naturally as possible and were told that the subjects discussed will not be the focus of this research. The second source is a two-hour recording of informal gatherings of Arab cab drivers in Chicago. The recordings took place at Chicago-Midway Airport, and were over a period of one week involving five male subjects ranging in age from 24 to 40. Four of them

are Jordanians and the fifth is a Palestinian. Four of the subjects had been in the States for five years and the fifth had been there for just two years. Three of the subjects had a high school and the other two finished preparatory school diploma from their native country. Once again the subjects did not know that exact purpose behind the recordings.

5. Data analysis

The data recorded featured a good number of instances of CS between Arabic, the ML, and English, the EL, a categorization which will be discussed when introducing the MLFM. Exchanges involving CS were extracted from the recordings and phonemically transcribed. Lexical and phrasal code switches were calculated. Instances of lexical CS were divided according to their syntactic categories, i.e., nouns, verbs, adjectives, etc. Multi-word code switches were also divided into their syntactic categories, i.e., noun phrase, verb phrase, etc. Instances of intrasentential code switching were then considered within the assumptions of the MLFM.

The rest of the paper is organized as follows. Section 6 considers the types of syntactic categories that are frequently subjected to CS. The results will be compared to the findings of other studies. Though this contribution may seem redundant since most research on the topic confirms very similar switching patterns, it is, however, crucial in this research for achieving rest of the objectives. The educational background of the participants is then related to the quantity and quality of their switches. The two groups exhibit distinct switching patterns in terms of the number of nouns vs. noun phrases on the one hand and the number of longer stretches going beyond a phrase from the EL on the other. In light of the types of words switched, section 7 considers the motivations behind code switching. Finally, in section 8 we analyze the data collected in light of the Matrix-Language Frame Model (MLFM) proposed by Myers-Scotton (1993, 1995, 1998, 2001). This will in effect explain the phenomenon of interference or assimilation which, according to Rouchdy (1992:36), "occurs when grammatical rules of the dominant language affect grammatical rules of the subordinate or borrowing language". Interference is briefly discussed in (6.3).

6. Syntactic categorization

Most of the research on the syntactic categorization of CS compares the frequency of single-word switches, or lexical switches, and phrasal switches (Lindholm & Padilai, 1978; Sridhar and Sridhar, 1980; Poplack, 1980; Houwer, 1990; Eid, 1991; Atawneh, 1992; Bader and Minnis, 2000). Another body of literature on CS has been structurally oriented. It attempts to answer the question: Where in a sentence might a speaker switch from one linguistic variety

to another? Syntacticians looked for the surface structure of sentences for clues about the constraints on CS like word order, surface category membership, and size of the constituent being switched (Gumpers, 1982; Heller, 1988). As for the syntactic categorization of the switches, nouns were found to be cross linguistically more often switched compared to any other lexical category and so were noun phrases at the phrasal level. The other categories seem to vary among languages.

6.1 Lexical vs. phrasal code switching

The percentages provided are calculated out of the total number of switches, i.e., lexical and phrasal. Table 1 provides the number of lexical and phrasal CS obtained from the speech of the Chicago cab drivers.

Table (1) shows that single-word switches (77.17%) are more frequent than phrasal switches (22.83%). The most frequent switch among single words is the noun (85.91%), whereas among the phrasal category it is only the noun phrase (100%). Verbs were never switched, adjectives were infrequently switched (11.27%), and only two adverbs were switched (2.82%). Almost all previous research confirms the fact that lexical categories are more frequently switched compared to phrasal categories, and that nouns and noun phrases are the highest among the two categories. For example, the frequency of occurrence, from highest to lowest, was found to be nouns, adverbs, adjectives, and verbs (Lindholm and Padilla, 1978), nouns, adjectives, adverbs and verbs (Sridhar & Sridhar, 1980), nouns, adjectives, verbs, and adverbs (Houwer, 1990), and nouns, verbs, adjectives, and adverbs (Atawneh, 1992). Accordingly, the results shown in Table 1 come in support of all previous research in that nouns are the most frequently switched category in the speech of our subjects. No verbs were switched in the two-hour recording.

Table 1: Percentages of lexical and phrasal CS among Arab cab drivers in Chicago.

Lexical Categories			**Phrasal Categories**		
Category	**switches**	**%**	**Category**	**switches**	**%**
Noun	61	85.91	NP	21	100
Verb	0	0	VP	0	
Adj	8	11.27	Adj.P	0	
Adv.	2	2.82	Adv.P	0	
Prep.	0	0	PP	0	
Total	71	100	Total	21	100

Grand total of switches in both categories: 71+21= 92

Percentage of lexical switches: 71/92= 77.17%

Percentage of phrasal switches: 21/92= 22.83 %

It is interesting here to note that prepositions and articles were never switched. This may be accounted for by the fact that these categories belong to closed classes of words in any language while the preferred categories for switching belong to open classes of words (Joshi 1985). All phrasal categories that were switched involved the definite article in Arabic. This will be further investigated in light of the MLFM.

Table (2) below provides information on cases of code switching obtained from a two-hour recording of informal gatherings of Arab students at KU:

Table 2: Percentages of lexical and phrasal CS among Arab students at KU

Lexical Categories			**Phrasal Categories**		
Category	**switches**	**%**	**Category**	**switches**	**%**
Noun	43	78.18	NP	23	100
Verb	2	03.64	VP	0	0
Adj.	6	10.91	AdjP	0	0
Adv.	4	07.27	AdvP	0	0
Prep.	0	0	PP	0	0
Total	55	100	Total	23	100

Grand total of switches in both categories: 55+23= 78

Percentage of Lexical switches: 55/78= 70.51%

Percentage of Phrasal switches: 23/78= 29.49

Table 2 confirms the results in Table 1. Lexical words are more frequently switched than phrasal categories. Nouns and noun phrases are again the highest among the two categories, with adjectives coming in second place, adverbs in third place. From the phrasal categories, once again it was only the noun phrase that underwent CS. This comes in total agreement with the results found in Table 1.

6.1.1 Comparing the results

A closer look at the two tables above reveals subtle variations underlying the apparent conformity in results. The total number of switches is rather close. Chicago cab drivers (Chicago group) tended to code switch a little more often compared to KU students (KU group). Both groups avoid switching prepositions in isolation and all phrases except for noun phrases. The Chicago group tends to switch lexical words (77.17%) more than the KU group (70.61). The difference might not be significant, but more variation is evident when comparing the switching of nouns. 66.30% (61/92) of the total number of switches for the Chicago group involved nouns while the KU group had 55.13% (43/78) switches involving nouns. On the other hand, the KU group switched more noun phrases 29.49 %(23/78) compared to the Chicago group who had 22.83% (21/92) of

their total switches as noun phrases. The KU group also switched more adverbs (7.27%) compared to the Chicago group (2.82%).

Below are two examples of CS[2]. In (1), a cab driver tells a story about some of the customers he met while working in a store, while in (2), a KU student tells a story about what he did with his students in a computer programming course he was teaching:

(1) bidži- ik zbuun biwaggif ʕal. lajn saaʕa bidd-o
comes/ you customer stands on the /line hour want-he

čeindž for ə dalər waraah waħad θaani maʕaa ʔrbaʕ
change for a dollar behind/him one second with/him four

qwaara-at w-bidd- o solid dalər.
quarter-plural and/want/he solid dollar

‘Sometimes a customer comes in and stands in line for an hour wanting change for a dollar. Another right behind him has four quarters and wants a solid dollar.’

(2) daxal-t ʕale-hom il.joom miš mħaDDer w- ʔolt-il-hom
Entered-I on- them the-day not prepared and/said/to/them

ʔismaʕ- u baħoT-k- u fi groups w-ʕale- k- u
Listen-plural put- you-plural in groups and/have/you-plural

tsaw-u kəmpjuutər pleiərz la-liʕbe w- bidd- ii- š raandəm pleiərz
do-plural computer players for-game and/want/I/not random players

jkuun-u stupid bidd-i inteləddžənt kəmpjuutə pleiərz
be/ them stupid want/I intelligent computer players.

‘I went to them today not prepared and said to them: “Listen, I’ll put you in groups and have you do computer players for the game, and I do not want stupid random players, I want intelligent computer players.’

6.2 Sentential CS

As noted in the literature, CS might take place at the lexical level, phrasal level, or beyond to include a whole sentence or even several sentences. The more elaborate the switched item, the more proficiency the speaker is required to have in the EL. Proficiency might be achieved through long years of exposure to the language. The data collected for this study featured subjects who roughly had the same period of exposure to English as a second language. Nevertheless, the two groups seem to have variations when it comes to switching a whole sentence

or several sentences. This might suggest that there are factors other than exposure time that influence a speaker's ability to switch structures larger than a single word. Another note that supports this claim has to do with the quality or the structural complexity of the switched sentence or sentences.

In the two-hour recording of casual speech among Chicago cab drivers, there were four instances of switching that went beyond a single word or phrase, two of which involved reporting conversations with native speakers of English and the other two were about a football game the drivers were watching. Two of these switches are presented in (3) and (4) below:

(3) waggaf-it ʕind-ha w – gul-it Hi, how are you? Do you need a cab?
stopped/I near/her and-said
gaal-at we don't need no cab.
said/she

(4) (Talking about a football player): He averages five yards bil(in the) carry.

On the other hand, during the two-hour recording of casual gatherings among KU students, there were thirteen instances of switches that involved a sentence or more. Some of these switches are shown in (5-10) all of which occurred within conversations in Arabic:

(5) They are very active politically.

(6) Just give me a few seconds to think.

(7) You can take it up to four times a day.

(8) I produce the image; a photo realistic image.

(9) I'm just kidding.

(10) The more you ask them (the students) to do, the less you do. That's actually a good way to learn programming. To have them sit down and do it. It's like mathematics. You have to let them sit down and do it.

A comparison of the quality and quantity of the switches performed by the two groups shows that the Chicago group switches less and tends to incorporate ML morphemes to break the sentences. The KU group clearly opts for sentential code switching more often. The examples listed from the KU group show that none of the examples were interrupted by Arabic morphemes or words. Example (10) above shows the level of complexity of some multi-sentence CS.

6.3 Interference

Interference occurs when grammatical rules of the dominant language affect grammatical rules of the subordinate language (Rouchdy, 1992). In the case considered in this study, phonological rules of Arabic are applied to English lexical items. Cases of interference will be more evident as the differences between the two languages involved increase. The non-concatenative nature of Arabic morphology (McCarthy, 1979) implies that there should be many cases of interference when native speakers of Arabic switch to English, which is, for the most part, a language with a concatenative morphology. For example, the analysis shows that native speakers of Arabic tend to use the Arabic feminine sound plural marker [-aat] i.e., the regular plural marker, rather frequently with English singular nouns as shown in (11).

(11) The Arabic regular plural in CS

a. kaabaat	kaab pl.	cabs
b. džakkaat	džak pl	jacks
c. trakkaat	trak pl	trucks
d. billaat	bil pl	bills
e. storaat	stor pl	stores
f. keekaat	keek pl	cakes

One can claim that this morpheme is very productive in CS. There are other cases where the speaker would opt for certain broken plural forms, i.e., an irregular plural marker, rather than the unmarked feminine sound plural. This would be an interesting research topic since there are 32 different shapes, i.e., templates, for the broken plural in Arabic.

The Arabic definite article was also used in most cases instead of the English counterpart. The assimilation rule associated with the Arabic definite article where the definite article /l/ fully assimilates with a following coronal sound is also active in examples involving English nouns as shown in (12).

(12) Assimilation of the Arabic definite article

a. /ʔissors/ 'the source' b. /ʔiljuzər/ 'the user' c. /ʔissiin/ 'the scene'

d. /ʔiššado/ 'the shadow' e. /ʔilmaws/ 'the mouse' f. /ʔillajn/ 'the line'

The use of the definite article with English nouns was found to be very common and can be taken as a productive process. For every instance of a definite article within a phrase, the Arabic definite article was used. The English definite article was only preserved within sentential CS. The assimilation rule was also very productive in the data, i.e., one would be able to identify the

English nouns that would involve an assimilation of the Arabic definite article. For example, if a native speaker of Arabic wants to use an English noun phrase like ‘the night’ with the Arabic definite article, we can expect the assimilation process to take effect since /n/ is a coronal sound. According to the assimilation rule in Arabic, the /l/ of the definite article /ʔal/ assimilates to a following coronal sound.

7. Motivations behind CS

Although the process of CS is considered to be the norm rather than the exception when the interlocutors speak more than one language, not all cases of CS have logical motivations behind their use. This is evidence for the claim that code switching is a process that is performed unconsciously (Sridhar, 1978). Accordingly, a discussion of the motivations underlying the process of CS is of merit. We will be concerned here with two basic types of CS, which are (i) technical CS and (ii) socio-cultural CS. Within each type, some examples of CS can be justified and others seem to have no particular motivation other than the unconscious nature of the process itself.

Previous research (e.g., Castells et al., 2006; Bautista, 1999; 2004; Sue, 2003; Scotton, 1993) has named common factors that affect an individual’s reasoning for code-switching. Among these are: 1) environmental settings, 2) audience, 3) conversations with embarrassing or uncomfortable topics, and 4) picking up “cues” from others that serve as an invitation to speak both languages (reported in Benitze, 2008). Functional studies of CS have focused on the reasons why bilingual speakers engage in CS, in describing the social context in which such utterances are produced, the social functions they attempt to serve, and the sociolinguistic factors triggering this kind of behavior (e.g., Chung, 2006; Castells et al., 2006; Sue, 2003; Al-Khatib & Farghal, 1999; Auer, 1999; Adendorff, 1996; Myers-Scotton, 1995; 1998; Mustafa & Al-Khatib, 1994; Gumperz & Hernandez-Chaves, 1978).

7.1 Technical CS

A technical term here is one that either lacks a corresponding term in the host language, or the corresponding term is rarely used and would sound odd and deprive the original English term of shades of its meaning. Examples from conversations between KU students are provided in (1) where only the terms in question are sited:

(1) Technical CS by KU students

a- Internet b- Graphics c- Photo realistic image d- Laptop e- Hard disk

Instances of technical CS used by the Chicago cab drivers were basically related to work as shown in (2):

(2) Technical CS by the Chicago cab drivers

a- Short trip b- Shared ride c- Starter d- Meter and a half.

The above examples are considered technical because they have specific implications to cab drivers. For example, a short trip is defined by the state in terms of location and time needed by the cab driver to be back at the airport. A certain trip might be closer than another, but still the latter is considered a short trip because it should take the cab driver less time to get to the destination. Further technical implications involved in the term 'short trip' is that the driver who gets the short trip and is back at the airport within the designated time does not have to stay in line to get another trip. Also a term like 'meter and a half' is considered technical because it refers to specific locations in the city of Chicago and its suburbs that entitle the cab driver to add 50% to the meter.

7.2 Socio-Cultural CS

Long years of exposure to a certain culture are bound to affect one's native language. Such a situation would certainly be most evident in the speech of children who learned Arabic from their parents but who have never been exposed to their native culture. Their speech will be especially marked for instances of CS induced by culture. When it comes to the speech of native speakers of Arabic who came to the United States as adults, their language would be less marked for socio-cultural CS. Nevertheless, their speech will include instances of CS where culture and the society they live in are the primary reasons for these switches. Socio-cultural CS can be divided into the following subcategories:

1. Place names

Although some place names can be translated since they are not names of people, still such names are always preserved in their original language. Following are some examples. The first two were said by KU students and the other four by Chicago cab drivers /Mr. Goodcents, WalMart., 555 West Adams, Down Town, Soldiers Field, Midway/.

Some of the examples above can be translated into Arabic, but such translations would be opaque even for native speakers of Arabic. For example, 'soldiers field' can be translated as [saaħat al džunuud] literally meaning 'field (of) the soldiers'. A less striking translation of a place name would be that for 'downtown'. An equivalent term is used in Arabic, which is [waSat il balad] meaning 'middle of the town'. The use of this term in Arabic would only be

taken to refer to the main street or area in an Arab country. The addressee will never take it to refer to downtown Chicago.

2. Other Cultural Terms

Names of products are another category that resists translation into the host language. Again the reason being that such a literal rendering would deprive the term or item of shades of its meaning that are necessary for a complete comprehension as shown in (3).

(3) Names of products

a- Donuts b- Bakery c- Gap, Polo, Marshal field. (brand names for clothes)

d- Foot long (a sandwich) e- Italian beef (a sandwich)

f- Mouse (computer terminology) g- Flu shot

Once again, it would be reasonable to translate some of these terms into Arabic, but the translations will not capture the intended meaning. For example a word like ‘bakery’ has an equivalent in Arabic, which is [maxbaz]. The problem is that an Arab would not expect to find ‘donuts’ in a [maxbaz] where only bread is made. Also the compound word ‘foot long’ can be translated into Arabic, but it will no longer refer to that specific type of sandwich that is a foot long.

Names of places and products are not the only socio-cultural cases of motivated CS. There are other nouns that often undergo CS due to socio-cultural factors. Such nouns undergo CS simply because the equivalent term in Arabic would not capture the intended meaning. Some examples are provided in (4).

(4) Other nouns

a- NBA (National Basketball Association)

b- Baseball (A sport)

c- Mileage (The number of miles a car has traveled)

d- Short trip (For cab drivers)

e- Super Bowl (The final game in the NFL season)

f- NFL (National Football League)

g- Touch down (Scoring in an NFL game)

h- Starter (Airport employee regulating the movement of cabs)

i- National League (In baseball)

j- American League (In baseball)

Some of the terms above do not have formal equivalents in Arabic. American football is not played and thus the terminology associated with it does not exist. One can look for a functionally equivalent term for some of the

examples above, but still this would not be possible since the entire idea of NBA or NFL is not part of the Arabic culture. The final possible Arabic rendering of such terms would be through opting for an ideationally equivalent term or a paraphrase. This would not be a reasonable solution because no matter how good that equivalent is, it will still fail to capture the whole intended meaning, let alone the fact that a paraphrase would naturally be longer than the original term and thus CS makes sense.

7.3 Unmotivated CS

In spite of all the arguments concerning motivated cases of CS, there are still many instances of CS that seem to lack any reasonable justifications. For example, the use of nouns and noun phrases in English when comparable counterparts exist in Arabic that would deliver exactly the same message without confusing the audience or having to paraphrase the idea as shown in (5):

(5) Unmotivated CS

English	Arabic
a- ʔil- game	ʔil-mobaaraah
b- ʔil- bill	ʔil-faatuurah
c- ʔis-supervisor	ʔil-mošrif
d- ʔiθ-thesis	ʔir-risaaleh
e- sad	ħaziin
f- my neck	ragbati

The examples above would never be used when the speaker is in an Arab country even if his audience speaks English. Words like ‘game’, ‘bill’, ‘supervisor’, etc. have perfect counterparts in Arabic as seen on the right column. The examples of motivated CS mentioned earlier might be used when the speaker is in his home country, but they would almost always be followed by an explanation of what these terms mean.

Another interesting area that involved CS had to do with repetition. One of the subjects would start with an English word or phrase immediately followed by a translation of the term. In other cases, the speaker would start with the Arabic term followed by an English switch. This might be seen as a sort of unmotivated switch especially when the Arabic term precedes the English term. Addressing native speakers of Arabic, one cannot justify why a translation in English should follow the Arabic sentence or word. Examples are provided in (6):

(6) CS and Repetition

a- sik.kii.net		mat.bax	kičin najf
knife		kitchen	kitchen knife
b- Sa.ħib		ʔil.maħal…	ʔil.onər
owner		the store	the owner
c- baštaɣil		mo.diir	ma.nidžər
work (I)		manager	manager
d- bjilbas		sitizin	madani
wears		(he) citizen	citizen
e- əm	džəst	kidiŋ	bamzaħ
am	just	kidding	kidding (I)

8. Matrix-Language Frame Model

As proposed by Myers-Scotton (1993), this model attempts to answer the following question: When do speakers alternate between two linguistic varieties, how free is this alternation from a structural point of view? (Myers-Scotton, 1993: 1).

8.1. Matrix language vs. embedded language

A basic assumption of the MLFM is the fact that the two or more languages involved in the code switching situation participate differently. The language that sets the grammatical frame for any mixed constituent is called the Matrix Language (ML); the other language is called the Embedded Language (EL). In any mixed constituent, the order of the morphemes follows from the ML. This fact is referred to as the *Morpheme Order Principle*. Also, the ML provides the system morphemes in the mixed constituents. This is referred to as the *System Morpheme Principle*. According to Myers-Scotton (1995: 237), three criteria are used to determine the ML:

(i) The ML is the one that is more unmarked. Often it is the language most associated with solidarity-building functions for the speaker.

(ii) Speaker judgments point toward the ML, i.e., persons engaged in code switching can identify which language is the ML.

(iii) The relative frequency of morphemes from the participating languages is also a good indicator. The ML is the one providing relatively more morphemes.

These three criteria all indicate that in the data under investigation, Arabic is the ML and English is the EL. The choice of Arabic among native speakers of the language is less marked and most morphemes are taken from Arabic. During the four hours of recordings between the two groups in this study, only a handful of expressions come from English. The rest of the conversations were conducted in Arabic, clearly indicating that Arabic is the ML.

In any CS situation, there are three types of constituents that may appear in a conversation. The first is an ML constituent which is a constituent made up entirely of morphemes from the ML. In our data, most constituents belong to this category. Such constituents will not be dealt with here since such a discussion would require an extensive analysis of well-formed structures in Arabic. The second type of constituents is one that is made up of morphemes from both the ML and EL (ML+EL constituents). Such constituents need to follow the *Morpheme Order Principle* and the *System Morpheme Principle* introduced earlier and discussed in 7.2 below. Finally the third type of constituents in CS is one that is made up entirely of morphemes from the EL (EL Islands). This type is discussed in 8.4.

8.2 System morphemes vs. content morphemes

The basic distinction between system and content morphemes is realized through thematic role assignment. Content morphemes are either thematic role assigners or thematic role receivers. System morphemes on the other hand cannot assign or receive a thematic role.[3] System morphemes have a general deictic function, i.e., they point directly to entities or events. Any lexical item that belongs to a syntactic category which involves quantification across variables is a system morpheme (Myers-Scotton, 1995: 237). Accordingly, quantifiers, determiners, possessive adjectives, inflectional categories (person, case, and gender), and adverbs of intensity are all system morphemes that must be provided by the ML. The copula, *do*-verbs, and dummy pronouns (*it* and *there*) are all system morphemes. On the other hand, content morphemes include most verbs, some prepositions, nouns, most pronouns, and descriptive adjectives.

The ML hypothesis sketched above is responsible for determining the structural shape of constituents that may be subject to code switching. It is responsible for limiting the shape of constituents in the code switching event that are taken from the ML and EL, i.e., it controls the structure of ML+EL constituents as shown in the following case:

(1) ruħ-it	ʕa- l- beekari	w- Talab- it	donəts
went-I	to-the-bakery	and-ordered-I	donuts

‘I went to the bakery and ordered donuts’

What is of interest here is the phrase /ʕa-l-beekari/ ‘to the bakery’. The word ‘bakery’ is a content morpheme in the EL and thus may be switched according to the ML hypothesis. On the other hand, the preposition /ʕa/ and the definite article /l/ are system morphemes that must be provided by the ML and are thus unswitched (*System Morpheme Principle*). The order of morphemes is that of the ML where the first person pronoun /-it/ is a suffix attached to the verb rather than a free morpheme preceding the verb as in English (*Morpheme Order Principle*), as shown in (2) below:

(2) haað	li- skriin	tabaʕ-tu	law	inha	ha- l - gad
this	the-screen	own- it	if	it	this-the-size

‘This (TV) screen, if it were just this big’.

Again, the lexical item /skriin/ underwent switching since it is a content morpheme in the EL. The demonstrative /haað/ resisted switching since it is a system morpheme that must be provided by the ML.

8.3. ML blocking hypothesis

The MLFM states that content morphemes in ML+EL constituents may come either from the ML or the EL. However, the dominance of the ML is evident even in such mixed constituents since the ML provides all the system morphemes and most of the content morphemes as well. The ML is so dominant in an ML+EL constituent that there are free morphemes in the EL that are not allowed to surface in an ML+EL constituent during code switching. This state of affairs is caused by the *ML Blocking Hypothesis*. This hypothesis limits but does not exclude EL morphemes. This is done on the basis of *congruence* between the EL morphemes and their counterparts in the ML. If a given morpheme is realized as a free morpheme in the EL, but its counterpart in the ML is a bound morpheme, the ML blocks this morpheme from appearing in an ML+EL constituent, as shown in (3):

(3) ʔiTbaʕ	ʔil-peipə	w-sajjev-ha	ʕala-disk
Print	the-paper	and save-it	on disk

In (3), the ML provides all the system morphemes such as the definite article /ʔil/, the conjunction /w/, and the preposition /ʕala/. It also provides the content morpheme / ʔiTbaʕ/. The pronoun 'it' is a free morpheme in English. Its counterpart in Arabic is a bound morpheme [-ha]. The ML blocks the EL

morpheme from appearing in the ML+EL constituent. The shape of the verb /sajjev/ is also affected by the morphology of Arabic. This process is known as 'interference' which according to Rouchdy (1992) occurs when grammatical rules of the dominant language affect grammatical rules of the subordinate language. The process is also known as assimilation (Haugen, 1973; Poplack and Miller, 1988). In the case considered in this study, phonological rules of Arabic are applied to English lexical items. Interference will increase as the differences between the two languages increase. The non-concatenative nature of Arabic morphology implies that there should be many cases of interference when native speakers of Arabic code-switch to English, which basically has a concatenative morphology.

8.4. EL Islands

The ML hypothesis and the ML blocking hypothesis are sometime violated in order to produce constituents made up entirely of material from the EL. Such constituents are called EL Islands. In an EL island, all system and content morphemes are taken from the EL. An EL trigger hypothesis predicts that when a morpheme is accessed which does not comply with the dictates of the ML hypothesis and the blocking hypothesis, the linguistic material following such a morpheme must constitute an EL Island. We have seen above that the English definite article is never switched within an ML+EL constituent since it is a system morpheme that must be provided by the ML. If a speaker uses the English definite article, the entire constituent following the definite article is expected to be in English, creating an EL Island. Pronouns are also unswitched within an ML+EL constituent. Examples discussed in (6.2) show that cases of sentential CS may be viewed as EL Islands. Most examples start with pronouns or articles which are EL Island triggers as shown in (4):

(4) EL Islands

a. They are very active politically.

b. You can take it up to four times a day.

c. I produce the image; a photo realistic image.

d. The more you ask them (the students) to do, the less you do. That's actually a good way to learn programming.

Cross-linguistically, most EL Islands are quantifier phrase starting with (e.g., very, some, many), formulaic structures like (e.g., that is to say, in other words, I'm just kidding, give me a break), and adjuncts like prepositional phrases. Another major category of EL Islands found in the data is inflectional phrases (IP). This seems to be a tendency in code switching performed by native speakers of Arabic. This is due to the variation between Arabic and English in

their verb morphology (Myers-Scotton, 2001). Thus, the KU group switched more sentences or IPs compared to the Chicago group. In general, the KU group switched more EL islands.

9. Conclusion

This article considered the phenomenon of code switching performed by native speakers of Arabic living in the United States. Two distinct groups of subjects were recorded. The first group consisted of five Arab cab drivers in Chicago and the second consisted of six Arab students at the University of Kansas. The members of each group spent an average of three years in the United States.

In terms of the syntactic categories of the code-switched items, the results of the study were found to be in conformity with the previous literature in the field. Level of education of the subjects was found to play a vital role in the quality and quantity of code switching. The first group, which is less educated, tended to code-switch more nouns than the second group. They switched less noun phrases and sentences, less adverbs, and their switches were more affected by interference of the phonological rules of their native language, i.e., Arabic.

Since code switching is a natural process performed unconsciously, unmotivated cases of code switching abound. On the other hand, motivated code switching was found to involve either technical or socio-cultural terms. The morphological composite of the switches conforms to the dictates of the MLFM where the Matrix language (Arabic) provides the system morphemes and the Embedded Language (English) provides the content morphemes. Embedded Language Islands violate the rules of the MLFM since there are cases where the Embedded Language provides the system and content morphemes. The KU group used more Islands compared to the Chicago Group during code switching. Since both groups had a roughly similar exposure to English, the use of more Islands by the KU group is seen as a reflection of their higher education.

الخلط اللغوي لدى العرب المقيمين في الولايات المتحدة الأمريكية من حيث البنية والدوافع

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ملخص

تهدف هذه الدراسة الى الخوض في ظاهرة الخلط اللغوي لدى مجموعة من الشباب العرب في الولايات المتحدة الأمريكية حيث سيتم تحليل هذه الظاهرة في ضوء نظرية اللغة المسيطرة. تم تسجيل محادثات عفوية لمجموعتين من الشباب العرب في الولايات المتحدة بمستويات تعليمية متباينة، وعليه فإن هذه الدراسة تهدف إلى (أ) تحليل الخلط اللغوي من حيث البنية النحوية لغايات المقارنة مع الدراسات الأخرى في هذا المجال؛ (ب) تحليل الدوافع الكامنة وراء الخلط اللغوي بناء على النتائج المحصلة في (أ)؛ و(ج) توضيح البنية الصرفية للخلط اللغوي بالإشارة إلي نظرية اللغة المسيطرة.

* **The paper was received on July 6, 2009 and accepted for publication on Dec. 24, 2009.**

Notes

1- For a detailed account, see Poplack and Miller (1988).

2- Throughout this paper, a simple phonemic transcription is used. Long vowels are written twice, /ʔ/ represents a voiceless glottal stop, and [ʕ] and [ħ] represent the voiced and voiceless pharyngeal fricatives respectively. Symbols in upper case are emphatic. Morphological details are kept to the minimum.

3- For details about thematic role assignment, see Baker (1988); Chomsky and Lasnik (1993).

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The Arab Journal For Arts Vol. 7 No. 2, 2010, pp. 175-204

Auxiliaries in Turkish and English: Contrastive Analysis

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Abstract

This paper explores the differences and similarities between Turkish and English in the area of auxiliaries. The discussion leads to different major conclusions. The position of Aux. in relation to VP is different in both languages. English is an SVO language, but Turkish is an SOV language. The Turkish modals and auxiliaries are used as suffixes and they cannot be separated from the verbs, but English modals are used as separate words which precede the verbs as follows (malı; should).

Onunla Konuş<u>malı</u>sın / ɔ:nunlæ kɔ:nʊʃmæləsən /

You <u>should</u> talk to him

Ben suyu içiyorum (–yor stands for – ing) / ben sʊjʊ ıtʃıjɔ:rʊm/

I am drinking water.

Turkish negative morpheme – ma is attached to the root (verb). It has five allomorphs – ma, – me, –mu, – mü, – maz, but English negative suffix is attached to auxiliaries (Do, Be, Have).

Çalış <u>ma</u> yısın / tʃæləʃmæjəsən /

(you do <u>not</u> work)

Such conclusions are helpful in language teaching materials, syllabuses and test construction.

I) Introduction:

Linguistic aspect of contrastive analysis (CA.) is based on structural linguistics. In the 1950s and 1960s, behaviorism and structural linguistics were of great popularity and CA. occupied an essential place in the field of applied linguistics. The task of CA. was formulated by Fries (1945) and developed by Lado (1957). It was regarded as the comparison of the structures of two languages or more and finding out the points of differences which are the main source of difficulty for language learner, and they form the basis for the preparation of language texts. CA. was very widely accepted in language teaching. It was considered as the only remedy for language teaching problems.

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As a result of favorability of this approach a series of contrastive studies began to appear, and they were usually pedagogical and aimed at predicting and showing learners' errors.

Brown claimed that "the principal barrier to the second language system is the interference of the first language system with the second language system, and that a scientific, structural analysis of the two languages in question would yield a taxonomy of a linguistic contrast between them in which in turn would enable the linguist to predict the difficulties a leaner would encounter." (1980: 148).

Stockwell, Bowen and Martin (1965) assured that the main source for predicting the difficulties is the interference between native language and target language.

To conclude, the ultimate aim of CA. is to compare phonological systems, morphological systems, syntax and lexical meanings of two or more languages. It was a result of the need to teach a L2 in the most efficient way. Larsen-Freeman and Long stated that "the most effective materials (for foreign language teaching) are those that are based upon a scientific description of the language to be learned, carefully compared with a parallel description of the native language of the learner." (1991: 52)

James (1980) stated that CA. involves two steps:

1- Description, that is, a formal description is made.
2- Comparison which is concerned with the identification of areas of differences and similarities, including "prediction" signaling which areas may cause errors and difficulties.

Auxiliary is a term used in the grammatical classification and description of verbs to refer to the set of verbs which are subordinate to the main lexical verbs. They help to make distinctions in Mood, Aspect, Voice, etc. In English the main auxiliaries are Do, Be and Have, e.g., he is coming, does he know, he has taken. The modal auxiliaries include can/ could, may/ might, shall/ should, will/ would, must, ought to and used to.

Auxiliaries in Turkish are expressed through affixation, but they are separate words in English.

Example:

Köpek suyu içiyor / kəʊpek sʊjʊ ɪtʃɪjɔ:r /

(The dog is drinking water).

– yor suffix stands for present continuous – ing.

A brief contrastive analysis of auxiliaries in Turkish and English will be presented in this paper.

II) Comparing the Alphabet:

The Ottoman Turkish language is known today as Turkish. Modern Turkish is spoken by about 70 million people in The Republic of Turkey and about 200,000 people in Northern Cyprus. Turkish is in Ural-Altaic family of languages. It is written left-to-right. The Turkish alphabet is sorted as follows: a, b, c, ç, d, e, f, g, ğ, h, ı, i, j, k, l, m, n, o, ö, p, r, s, ş, t, u, ü, v, y, z. The Turkish alphabet contains 29 letters. Punctuation is the same as those characters used in English language. The Turkish alphabet contains 29 uppercase and 29 lowercase letters.

The English alphabet is sorted as follows; a, b, c, d, e, f, g, h, i, j, k, l, m, n, o, p, q, r, s, t, u, v, w, x, y, z. The English alphabet contains 26 letters. It also contains 26 uppercase and 26 lowercase letters. Although these two languages use the Latin alphabet, they have different letters. The letters (ç, ğ, ı, ö, ş, ü) in Turkish do not correspond to any letter in English, but on the other hand, the letters (q, w, x) are not normally used in Turkish.

This section discusses the sound inventories of Turkish and English. For phonetic transcriptions, the convention of the IPA adapted from Roach, 1991 is used.

English and Turkish have 20 consonants in common. Almost every consonant that exists in Turkish also exists in English. English has a total number of 24 consonants whereas Turkish has a total of 21. Tables 1 and 2 display the phonetic nature of consonants in both languages.

Table 1: English consonant phonemes (Adapted from Roach, 1991).

		Place of articulation							
		Bilabial	Labiodental	Dental	Alveolar	Palato-alveolar (Post-alveolar)	Palatal	Velar	Glottal
Manner of articulation	Plosive	p b			t d			k g	
	Fricative		f v	θ ð	s z	ʃ ʒ			h
	Affricate					tʃ dʒ			
	Nasal	m			n			ŋ	
	Lateral				L				
	approximant	w				r	j		

Turkish consonants, on the other hand, differ from English consonants in terms of their place of articulation as table 2 displays:

Table 2: Turkish consonant phonemes (Adapted from Demircan, 1996)

	Bilabial	**Labio-dental**	**Dental**	**Palato-alveolar**	**Alveo-palatal**	**Palatal**	**Glottal**
Stops VI	p		t			k	
Vd	b		d			g	
Fricatives VI		f		s	ʃ	ɣ	h
Vd		v		z	ʒ		
Affricates VI				tʃ			
Vd				dʒ			
Nasals	m			n			
Laterals				r	l		
Approximants					j		

English has a 12 vowel system with three degrees of tongue height such as high, mid and low. Table 3 illustrates the English vowels:

Table 3: English vowels (Adapted from Yule, 2001).

	Front	**Central**	**back**
High	i		u
	ɪ		ʊ
Mid	**e**		o
	ɛ	ə	ɔ
low	æ	ʌ	a

Turkish, on the other hand, has 8 vowels with two positions of tongue height; high and low as it is shown in table 4.

Table 4: Turkish vowels (Adapted from Demircan, 1996).

	Front		**Back**	
	Rounded	**Unrounded**	**Rounded**	**Unrounded**
High	y	ı	u	ə
Low	əʊ	e	o	a

III) Auxiliaries in Turkish:

A basic sentence in Turkish consists of NP (subject), VP (predicate) and Auxiliary. VP (predicate) may be either verbal as the following example:

Esen mektup ları yaz dı / esen mektuplærə jæzdə /

Esen + letter + pl. suffix + write + past suffix

(Esen wrote letters.)

or non - verbal as the following example.

Ben Öğretmen im / ben əʊretmenɪm /

I + teacher + personal suffix standing for Be

(I am a teacher).

In Turkish, the auxiliary is not a separate word, but it is a suffix or group of suffixes attached to the predicate (Altunkaya, 1989: 55). Such information could be stated as follows:

NP (subject)	VP (predicate)	Auxiliary suffixes
1. Fatma	gel	di
Fatma	come	(definite past suffix)
Fatma geldi / Fætmæ geldı / (Fatma came.)		
2. Köpek	iç	iyor
The dog	drink	(– ing suffix)
Köpek içiyor / kəʊpek ɪtʃɪjɔ: r / (The dog is drinking.)		
3. Ben	uyu y	acak
I	wake up + buffer sound (y)	(Future suffix)
Ben uyuyacak / ben ʊjʊjædʒæk / (I will wake up.)		
4. Ahmet	iyi	dir
Ahmet	good (adj.)	Be suffix (present)
Ahmet iyidir / æhmet ɪjɪdɪr / (Ahmed is good.)		
5. Murat	okul da y	idi
Murat school + in + buffer sound (y) + (Be) suffix (past)		
Murat okuldayidi / mʊræt ɔ:kʊldæjɪdɪ / (Murad was in school)		
6. Nasir	Öğretmen	dir
Nasir	teacher (n.)	Be suffix (present)
Nasir öğretmendir / næsɪr əʊretmendɪr / (Nasir is a teacher.)		
7. Murat	Yaz	miş
Murat	write	Indefinite past suffix
Murat Yazmış / mʊræt jæzməʃ / (it is supposed that Murad wrote.)		
8. Sami	bekle	r
Sami	Wait	Simple present suffix
Sami bekler / sæmɪ bekler / (Sami waits.)		

It must be noted that the auxiliary suffixes in Turkish follow the vowel harmony rule, meaning that a word usually has all vowels of a single class. If the

vowels in the root are formed in the back of the mouth (ɑ/ æ /, undotted i /ə/, o/ ɔ: /, u / ʊ / as in araba / æræbæ/ (car), we add – lar (plural suffix) to make arabalar (cars). If the vowels are made in the front of the mouth (e /e /, i / ɪ /, ö / əʊ /, ü / y /), we add – ler to ev / ev/ (house) to make evler (houses). Likewise bankalar/ bænkælær/ (banks) but otobüsler / ɔ:tɔ:bysler / (buses). Turkish language is an agglutinating language, which means that it attaches its grammatical information to the end of a root-word according to the vowel harmony rule.

It is necessary to formulize a) verbal and b) non-verbal sentences in terms of auxiliary morphemes:

A. Verbal sentences:

Present continuous tense (Şimdiki zaman kipi) describes what is happening now at this moment. It is also used for what will happen in near future:

Example:

a- Ev e gidi yoru m / eve gɪdɪjɔ:rʊm /
home + to + go + continuous suffix (yor) + personal suffix (I).
I am going home.

b- Yarın çarşı ya gidi yoru m / jærən tʃærʃəjæ gɪdɪjɔ:rʊm /
tomorrow + market + to + go + continuous suffix (yor) + personal suffix (I)
Tomorrow, I am going to market.

The present continuous tense suffix "–yor" does not follow vowel harmony and always retains "–yor" form.

Simple present tense (Geniş zaman kipi) signifies habitual action:

Examples:

Ben çayı iç er im / ben tʃæjə ɪtʃerɪm /
I + tea + drink + present suffix (er) + personal suffix (I)
(I drink tea)

Ben gid er im / ben gɪderɪm /
I + go + present suffix + personal suffix (I) (I go)

The simple present morpheme –ır applies to verbs, and it has the following allomorphs: (–ar, –er, –ır, –ir, –ur, –ür, –r). They are based on the vowel harmony rule.

Turkish definite past tense (Ğörülen Geçmiş zaman) is eyewitness tense and it states that something definitely happened in the past. The definite past tense morpheme –dı applies to verbs and it has eight allomorphs (–dı, –di, –du, –dü, –tı, –ti, –tu, –tü). They are based on the vowel harmony rule stated above. The suffix vowel and the stem vowel have to share the same specification for both backness and rounding. Also, the suffix consonant and the stem consonant have to share the same voicing as the following examples:

– gel – di – m (geldim) / geldɪm /

come + past suffix + personal suffix (I)(I came).

– unut – tu – m (unuttum) / ʊnʊtʊm /

forget + past suffix + personal suffix (I)(I forgot).

Indefinite past tense (Ŏğrenilen Geçmiş zaman) is used for hearsay and reporting. It is used when the event has not been eye witnessed personally and for tales and jokes. Turkish also adds the indefinite past tense morpheme –mış which has four alomorphs (–muş, –mış, – miş, –müş) to the verbs based on the vowel harmony rule as the following examples:

Konuş - muş - sun (konuşmuşsun) / kɔ:nʊʃmʊʃsʊn /

talk + indefinite past suffix + personal suffix (you)

(it is said that you talked)

yürü - müş - üz (yürümüşüz) / jyrymyʃyz /

walk + indefinite past suffix + personal suffix (we)

(it is said that we walked)

Future tense (Gelecek zaman kipi) signifies what will happen in the future as follows:

Sen gel - ecek - sin (sen geleceksin) / sen geledʒeksɪn /

you + come + future suffix + personal suffix (you)

(you will come)

Ben ala – cağ - ım (Ben alacağım) / ben ælædʒæɣəm/

I + take + future suffix + personal suffix (I)

(I will take)

The future tense suffix (based on vowel harmony) is –acak, –ecek. After a verb root ending in a vowel, a buffer letter –y is used to become – yacak, – yecek. If the suffix follows by a vowel, it will be transferred to (–eceğ or – acağ) as in the above examples.

To make Turkish verbal sentences negative, we use the morpheme –ma or one of its allomorphs (–maz, – me, –ma, – mu) after the verb root as the following examples taking vowel harmony rule into consideration:

a. Present continuous (şimdiki zaman kipi)

Ben Ammana oturuyorum / ben æmænæ ɔ:tʊrʊjɔ:rʊm /
(I am living in Amman)

Ben Ammana outurmuyorum / ben æmænæ ɔ:tʊrmʊjɔ:rʊm/
(I am not living in Amman)

b. Simple present tense (Geniş zaman kipi)

Biz gideriz / bɪz gɪderɪz / (we go)

Biz gitmeyiz / bɪz gɪtmejɪz / (we do not go)

c. Definite past tense (Görülen Geçmiş zaman)

Geldim / geldɪm / (I came)

Gelmedim / gelmedɪm / (I did not come)

d. Indefinite past tense (Ŏğrenilen Geçmiş zaman)

Konuşmuşum / kɔ:nʊʃmʊʃʊm / (I talked)

Konuşmamışım / kɔ:nʊʃmæməʃəm / (it is said I did not talk)

e. Future tense (Gelecek zaman kipi)

gel ecek siniz / geledʒeksɪnɪz / (you (plural) will come)

gelmeyeceksiniz /gelmejedʒeksɪnɪz / (you (plural) will not come)

B. Non - verbal sentences:

It is necessary to formulize non-verbal sentences with examples on the basis of the substantivizers (SUBS) of auxiliaries. Therefore all Turkish sentences are of the following structure with auxiliaries:

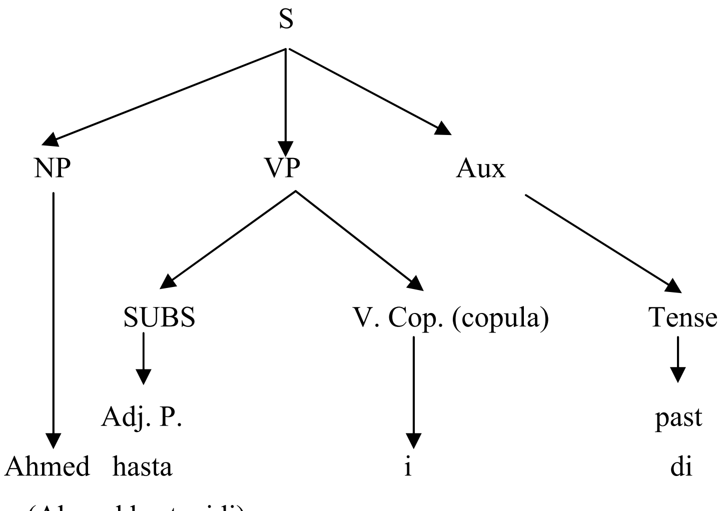
S → NP	1. NP (noun phrase) + Aux 2. Adj. P. (adjective phrase) + Aux. 3. Adv. P. (adverbial phrase) + Aux.

1- Ahmet doktor dur / æhmet dɔ:ktɔ:rdʊr /
NP + NP Be (present)
(Ahmed is a doctor)

2- Ahmet hasta y idi / æhmet hæstæjɪdɪ /
NP + adj. P. + buffer sound (y) + Be + definite past suffix
(Ahmed was ill)

3- Ahmet evde y imiş / æhmet evdejɪmɪʃ /
NP + adv. P. + buffer sound (y) + Be + (indefinite past suffix)
(Ahmed is supposed to be at home)

Now, let us draw a tree diagram for one of the above examples:



(Ahmed hastayidi)

Note: – i stands for VP. (copula)

– y is a buffer sound between two vowels

Suffix is sometimes preceded by a buffer letter such as 'y' or 'n' for smooth pronunciation.

While classifying Turkish auxiliary verbs, Gabian (1993) divides them into two main groups. The first group of auxiliaries is that which follows (–i) e.g. Gelmeliyidi /gelmelɪjɪdɪ/ (He had to come) and the second group of auxiliaries is that which precedes (ol–) such as Gelmişoldu / gelmɪʃɔ:ldu /(it is said to come).

Auxiliary morphemes are considered as suffixes and they can also be grouped as modals:

1- – Meli – Malı

In Turkish, the modal (–malı) is a morpheme with two allomorphs –malı, –meli which is used for giving advice. The degree of politeness is assured through some helping phrases, e.g. affedersiniz /æfedersɪnɪz / (please). The examples will clarify the point:

a. Çalış malı yı m / tʃæləʃmæləjəm /
Work + should + buffer sound (y) + personal suffix (I)
(I should work)

b. Çalış malı sın / tʃæləʃmæləsən /
(you (singular) should work).

c. Çalış malı / tʃæləʃmælə /
(He/ she should work).

d. Çalış malı y ız / tʃæləʃmæləjəz /
(we should work).

e. Çalış malı sınız / tʃæləʃmæləsənəz /
(you (plural) should work).

f. Çalış malı lar / tʃæləʃmælələr /
(They should work).

In Turkish, negative is formed by adding the suffixes (–ma, –me, –mu) attached to the root according to the vowel harmony rules as follows:

a. Çalışmamalıyım / tʃæləʃmæmæləjəm /
(I should not work).

b. Çalışmamalısın / tʃæləʃmæmæləsən /
(You (sing.) should not work).

c. Çalışmamalı / tʃæləʃmæmælə /
(He/ she should not work).

d. Çalışmamalıyız / tʃæləʃmæmæləjəz /
(We should not work).

e. Çalışmamalısınız / tʃæləʃmæmæləsənəz /
(You (pl.) should not work).

f. Çalışmamalılar / tʃæləʃmæmæləlær /
(They should not work).

Unlike English "malı, meli" are used as suffixes. They cannot be separated from the verb. However, in English, the modal verbs are separate. They precede the main verbs. They are alike in both languages because they are used for the same purpose. They are used in different meanings and different contexts.

2- –abil, – ebil

– abil is a morpheme with two allomorphs –abil, –ebil that is used for showing abilities (could) as the following examples:

a. Kaldırabili ri m / kældəræbɪlɪrɪm /
Lift + could + present suffix + personal suffix (I)
(I could lift)

b. Kaldırabilirsin / kældəræbɪlɪrsɪn / (you (sing.) could lift).

c. Kaldırabilir / kældəræbɪlɪr / (He/ she could lift).

d. Kaldırabiliriz / kældəræbɪlɪrɪz / (we could lift).

e. Kaldırabilirsiniz / kældəræbɪlɪrsɪnɪz / (you (pl.) could lift).

f. Kaldırabilirler / kældəræbɪlɪrler / (They could lift).

(–r) used in the examples above refers to the present tense (Geniş zaman). The negative morpheme –ma with its allomorphs (– ma, –me, –maz, –mu, –mü) apply to verbs provided that (bil) is omitted and (a) is used instead.

a. Kaldır a ma m / kældəræmæm /
Lift + modal (could) + negative suffix (ma) + personal suffix (I)
(I could not lift).

b. Kaldır a maz sın / kældəræmæzsən / (you (sing.) could not lift.

c. Kaldır a maz / kældəræmæz / (He/ she could not lift).

d. Kaldır a may ız / kældəræmæjəz / (we could not lift).

e. Kaldıra maz sınız / kældəræmæzsənəz / (you (pl.) could not lift).

f. Kaldır amaz lar / kældəræmæzlær / (They could not lift).

Sometimes, Turkish speakers use some helping phrases expressing personal ideas that strengthen the meaning used in the sentence as Bence / /bendʒe/ (I think). In this term, both languages are alike.

Example:

Bence, doktor a görün meli sin / bendʒe dɔ:ktɔ:ræ gəurynmelɪsɪn/

I think + doctor + to + see + should + personal suffix (you)

I think you should see the doctor.

IV) Basic Semantic Functions of Aspects in Turkish:

Aspect is a category used in the grammatical description of verbs, referring to the way grammar marks the duration or other types of activity denoted by the verb in terms of aspect. There are perfective (completion) and imperfective (non-completion) or futurity.

A. Completion:

The aspects – dı and – mış denote completion as the following examples:

1- Ahmet geldi / æhmet geldɪ / (Ahmed came)

2- Ahmet gelmiş / æhmet gelmɪʃ / (Ahmed supposedly came).

Although sentence (1) makes a statement of fact and (2) makes a statement of hearsay, both of them give the completion of the act of "gel" /gel/ (coming). These aspect markers (Aux 1) occur before tense markers (Aux2) as the following examples:

1- Gazeteyi masay a koy du y du m /gæzetejɪ mæsæjæ kɔ:jdʊjdʊm /

newspaper + table + buffer sound (y) + on + put + Aux 1 (Aspect maker / definite completion (du)) + buffer sound (y) + Aux 2 (Tense marker / definite past (du)) + personal suffix (I)

I had put the newspaper on the table.

2- Gazeteyi masaya koy muş tum / gæzetejɪ mæsæjæ kɔ:jmʊʃtʊm /

newspaper + table + buffer sound (y) + on + put + Aux 1 (Aspect maker / indefinite completion (muş)) + Aux 2 (Tense marker / definite past (tu)) + personal suffix (I)

I think that I had put the newspaper on the table.

Sentence (1) and (2) imply that the speaker remembers that he has put the newspaper on the table but it is not there, however, these sentences indicate the completion of the action of "putting".

B. Aspect Markers Denoting Non-Completion or Futurity:

The aspect markers, "– yor" (–ing), "– ecek" (will) and "–ir" (Present tense) denote either non-completion or futurity of an action. They will be presented with their aspectual semantic functions as follows:

1- "– (i) yor"

It may refer to:

a. a single process, state or activity which is not completed.

Ahmet ağlı yor / æhmet æləjɔ:r /

Ahmet + cry + suffix stands for – ing

(Ahmed is crying.)

This process of ağlıyor (crying) is not completed. It denotes the non-completion of this activity because Ahmed is still doing the action of (ağlıyor) crying at the moment of utterance.

b. Future state or activity:

Example:

Mayıs ta evleni yor lar / mæjəstæ evlenɪjɔ:rlær /

May + in + marry + – ing suffix + Personal suffix (they)

(In May, they are getting married)

This statement does not denote that the proposition expressed is the fact at the moment of utterance. It is related to the future activity of "evleniyorlar" (getting married).

2- "– ir "

The semantic function of this aspect is related to a future activity or "non-completion" of the process at the moment of the utterance.

Example:

Ahmet bu işi on dakika da bit ir /æhmet bʊ ɪʃɪ ɔ:n dækɪkædæ bɪtɪr/

Ahmet + this + job + ten + minute + within + finish + present suffix

(Ahmed finishes / can finish this job within ten minutes.)

3- "– ecek "

The semantic function of this aspect is normally related to the non-completion of a future event.

Example:

Sigarayı bıraka cak / sɪgæræjə bərækædʒæk /

Smoking + stop + model (will) + no suffix stands for (he/ she).

She / He will stop smoking.

V) Auxiliaries in English:

Auxiliary is a term used in the grammatical classification of verbs to refer to the set of verbs, subordinate to the main lexical verb, which helps to make distinctions in mood, aspect, voice and tense. In English, the main auxiliaries are Do, Be and Have.

Examples:

1- He is speaking.
2- Does he speak English?
3- They have written the papers.

The modal auxiliaries include may/might, can / could, shall/ should, will/ would, must, ought to and used to. The class of auxiliaries is distinguished grammatically from the lexical verbs in several ways. Modal auxiliaries add to the verb a special semantic component such as ability, obligation, possibility … etc. Modal auxiliaries generally have no –s suffix for third person, and no indefinite or participial form. They have only two formal tenses, the present and the past, which are used with the simple form of the lexical verbs (may offer, might offer), the progressive form (may or might be offering), the perfect form (may or might have offered) or the passive form (may or might be offered).

Examples:

1- Can / could (ability).
   I can offer help (present time).
   I could offer help (past time).
   I can offer help (future time).

2- May / might (permission)
   May I borrow your car? (present time).
   Might I borrow your car? (past time).

3- Should / ought to (obligation, advisability)

You should (ought to) do your homework every day. (obligation).

She should (ought to) eat less if she wants to lose weight. (advisability).

4- Must / have to (necessity)

We must (have to) eat in order to live.

5- Can / may (possibility)

Something can (may, might) go wrong. (present or future time).

Something could (may, might) have gone wrong. (past time).

In addition to denoting possibility and permission, the auxiliary may or might may express:

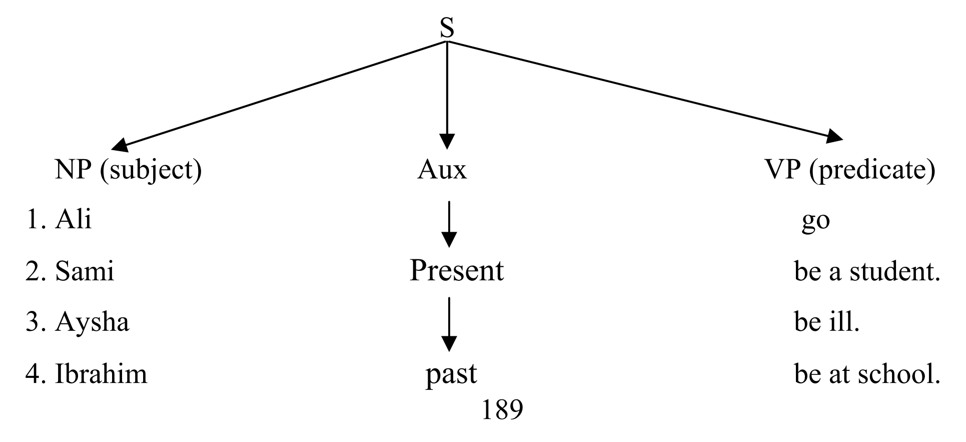
1- A wish: May all your dreams come true.

2- Purpose: she is saving money so that she may go to America.

3- Reproach: you might be more serious.

Chomsky (1957 and 1965) gives a clear and simple transformational grammar which generates the form of English tenses. A basic sentence in English consists of NP (subject), Aux and VP. And thus auxiliary is presented as a separate constituent. The auxiliary is everything in the underlying sentence from the end of the subject (NP) to the beginning of the main verb. We can say that auxiliary is made up of four components: Tense, Modal, Perfect and Progressive. The obligatory element of the auxiliary is tense.

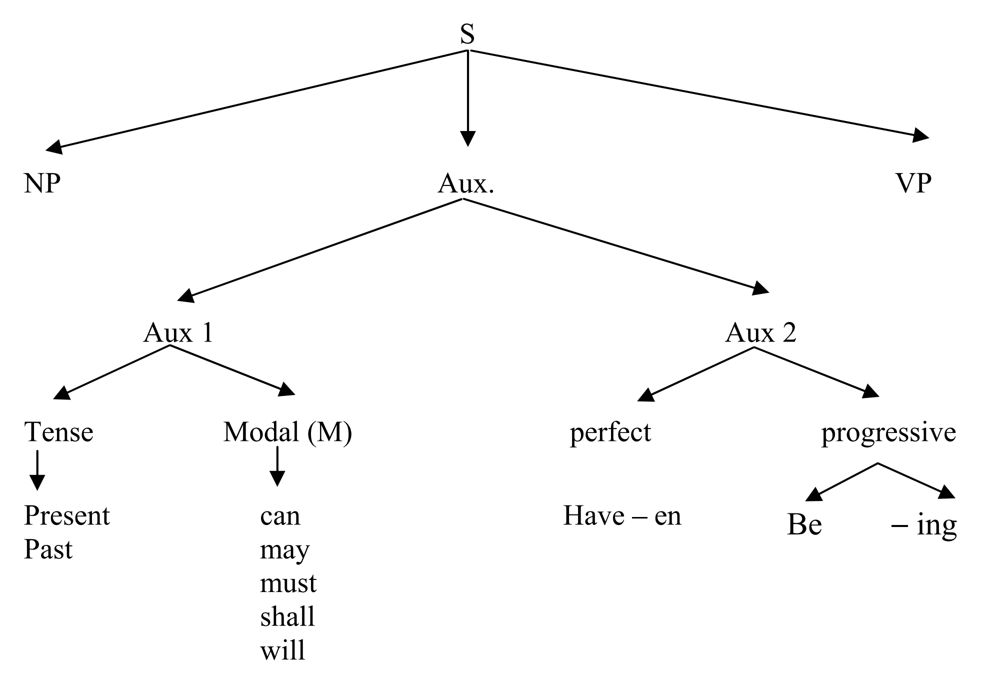
VP (predicate) may be either verbal (main verb) e.g.; come, say, or non-verbal (substantival) e.g.; be – NP, be – adj. P., and be – adv. P. Phrasal structural rules of Transformational Grammar are a set of rewriting rules applied on the deep structure to generate the surface structure. The phrase structural rules can be represented by a tree diagram (Chomsky, 1965) as follows:



It is necessary to divide auxiliaries into Aux 1 which is composed of tense, as well as modals and Aux 2 containing have – en (perfect) and be – ing. The following formula will exhibit the Aux. components in English:

Aux	→	Aux 1 (Aux 2)
Aux 1	→	Tense (Modal)
Tense	→	Present, past
Modal	→	Can, may, must, shall, will, ought to
Aux 2	→	Perfect, progressive
Perfect	→	Have - en
Progressive	→	Be + – ing

The first element of the Aux. is tense which is obligatory source either present or past. The other elements of the Aux. given above are optional. The following is a tree diagram for the Aux. in English:



There may be a number of auxiliary verbs in a simple sentence. The auxiliary verbs may be modal (M), "have" (copulative verb – V cop.) and be (copulative verb – V cop.), and the last element in the sequence is the main verb (MV.). Affix hopping tense /– en/, /– ing/ is attached to the first verbal element that follows it:

Example: Ahmed would have been swimming.

The deep structure of this sentence is:

S

NP Aux. VP.

Aux 1 Aux 2

Tense Modal (M) perfect progressive

Ahmed past will Have en Be – ing

The past participle ending (–en) is not an independent word but a part of a word that has a meaning or grammatical function of its own. It is called a morpheme (bound morpheme). This morpheme is attached to the verb that follows it. The present participle ending (– ing) is also not an independent word. It is attached to the verbal element that follows it.

VI) Basic Semantic Function of Aux 1:

Auxiliaries in English are formed through Aux. 1 (tense/ modal) and Aux. 2 (perfect/ progressive).

a. Present tense:

The present tense ending takes two forms. One form is written as "–s" or "–es". This form is used when the subject NP can be replaced by a third person singular.

Example:

– Ahmed swims (Ahmet yüzer) / æhmet jyzer /

– She goes to school (O okula gider) / ɔ: ɔ:kʊlæ gɪder /

The other form of the present tense ending is null (O).

Example:

– They swim (Onlar yüzer) / ɔ:nlær jyzer /

Borstein stated that present tense usually indicates a habitual or timeless action or state of being. (1977: 69)

Example:

– My mother calls me every week (habit).
– A dog is an animal (timeless).
– Bill teaches English on Tuesday (state of being).

b. Past tense:

English has two ways of making the past tense which normally indicates past time:

1- The regular way which is the most common in Modern English is to add an affix spelled "–ed".

Example:

They climbed this mountain last year.

(onlar geçen yıl dağ a tirman dı lar) / ɔ:nlær getʃen jəl dæɣæ tɪrmændəlær /

They + last + year + mountain + this + climb + past suffix + personal suffix (they).

2- The irregular way:

They are almost restricted in number (sing – sang).

Example:

She sang beautiful songs.

O güzel şarkı lar söyle di / ɔ: gyzel ʃærkɪlær səʊjledɪ /

She + beautiful + song + pl. suffix + sing + past suffix

VII) Basic Semantic Functions of Aspects in English:

Aspect concerns the manner in which a verbal action is expressed (complete, or in progress/ non-complete). English has two marked aspects:

a. Perfective aspect referring to completion.
b. Progressive aspect referring to non-completion or futurity.

a. Completion:

The perfective aspect (VPs) containing forms of have + v – en are perfective.

Example: I have finished this book.

b. Non-completion or futurity.

The progressive aspect marker is "–ing" which is always attached to the following verb. It is reasonable to say that the progressive consists of two verbs; the verbal element (copulative verb V. cop.) "Be" and the aspect marker "–ing.

e.g. I am going to Amman (non-completion or action in the future).

Ben Amman a gidi yoru m / ben æmænæ gɪdɪjɔ:rmʊm/

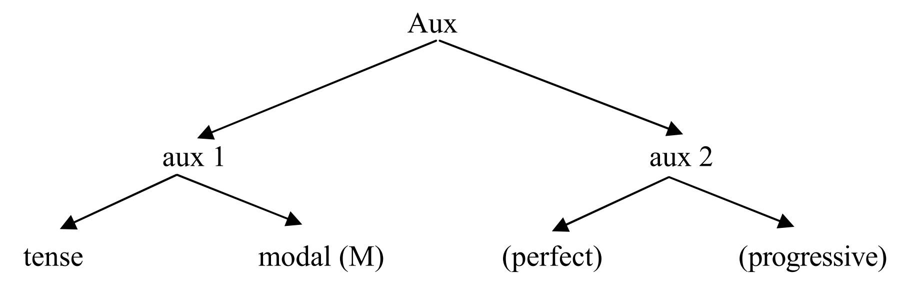
I + Amman + to + go + ing suffix + personal suffix (I),

VIII) Comparison of Auxiliaries in Turkish and English:

The comparison will be presented under the sub-headings: similarities and differences.

Similarities:

Auxiliaries are formed through aux 1 (tense, modal) and aux 2 (perfect, progressive) in English as the following diagram:



Example:

They would have been working.

Aux 1 (modal, past) aux 2 (perfect, progressive)

Auxiliaries are also formed through Aux 1 (subs / aspect; – iyor, –ecak, –mış, –dı, –malı) and Aux 2 (tense / inferential, assertive; –mış, –dı) in Turkish.

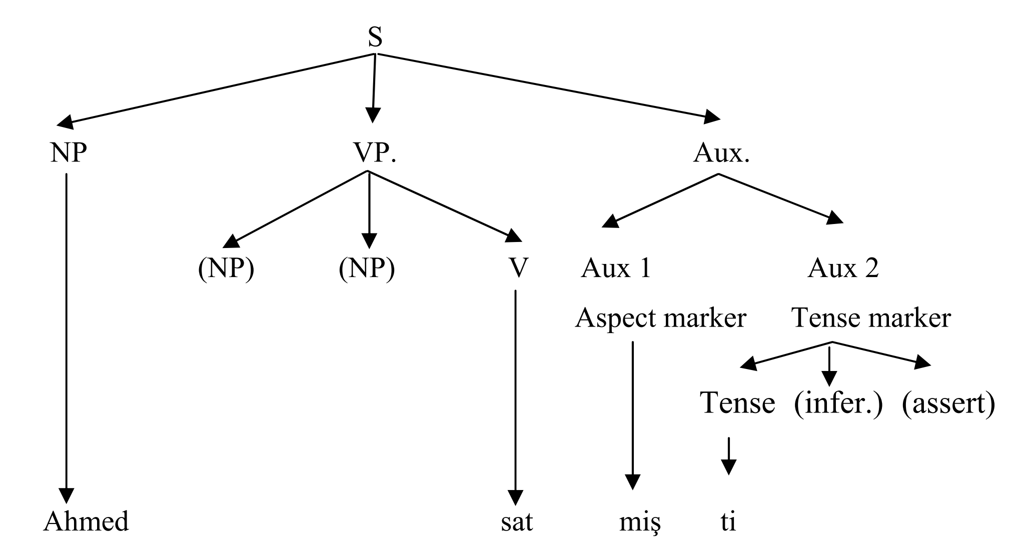
Example:

Ahmet evi sat mış tı / æhmet evɪ sætməʃtə /

Ahmed + house + sell + Aux 1 (Aspect marker / indefinite completion (mış)) + Aux 2 (tense marker / definite past (tı)).

Ahmed had supposedly sold the house.

Let us draw a tree diagram for the sentence stated above:



As can been seen above, tense in both languages is the obligatory element of auxiliary.

Differences:

The position of Aux. in relation to VP is different in both languages. English is an SVO language but Turkish is an SOV language. Aux. in both languages stand on different grounds as can be seen in the following examples:

Ben mektup ları yaz dı m / ben mektʊplærə jæzdəm /

I + letter + pl. suffix + write + past suffix + personal suffix (I)

I wrote a letter.

The aux (dı) follows the main verb yaz (write) in Turkish (V. + past suffix).

The components of Aux – Tense, –en, – ing, – ed in English must be attached to the right hand edge of the verb that follows it by means of affix transformational rules of Generative Grammar (Chomsky, 1965). These are a set of rules applied to the deep structure to generate the surface structure as a string of morphemes. They are indicated by double arrow from left to right (⇒) meaning the deep structure at the left of the arrow can be transformed into the surface structure on the right of the arrow.

Example:

af + v ⇒ v + af

means that an affix preceding a verb in the deep structure is suffixed to that verb in the surface structure:

en + write ⇒ write + en (written)

or ed + write ⇒ write + ed (wrote)

However, it is not necessary to apply affix rule to the components of aux. in Turkish since they are naturally in the right place in terms of syntactic sequence.

Examples:

English:

He (pres. + be) (– ing + sleep) now ⇒ He (be + pres) (sleep – ing) now.

He is sleeping now.

Turkish:

O şimdi uyu – yor ⇒ O şimdi uyu yor / ɔ: ʃɪmdɪ ʊjʊjɔ:r /

He + now + sleep + – ing suffix

(He is sleeping now)

Suffixes in Turkish which are classified as substantivizers/ aspect markers correspond to the modal in English.The English modals precede the main verbs but Turkish modals follow them as the following examples:

1- "–meli" corresponds to "must"

Onu yap malı sın / ɔ:nʊ jæpmæləsən /

It + do + modal (must) + personal suffix (you)

you must do it.

2- "– ecek" corresponds to will / shall

Onlar bizi bekli y ecek / ɔ:nlær bɪzɪ beklɪjedʒek /

They + us + wait + modal (will)

They will wait for us

3- "– ebil" corresponds to can

O yüz ebil ir /ɔ: jyzebɪlɪr/

He / she + swim + modal (can) + present suffix

He can swim

The comparison between the verbal and non-verbal (substantival) sentences in both languages in terms of Aux. will be stated:

1- Verbal sentences:

English verbal sentences correspond to substantivized sentences in Turkish:

English: NP Tense VP

She past write a letter (she wrote a letter)

Turkish: NP substantive (SUBs) Tense

O bir mektup yaz dı / ɔ: bɪr mektʊp jæzdə /

She / he + a + letter + write + definite past suffix

(she / he wrote a letter)

It must be noted that the past suffix dı (Turkish) and – ed (English) are put in different places according to the position of the verb in both languages.

Turkish sentences corresponding to English verbal sentences with present tense generally contain either the aoristic affix – aspect "– ir" or the momentary affix – aspect "–iyor".

Examples:

English: NP Pres. VP

a. I pres. hear a sound

(I hear a sound)

b. he pres. get up early

(He gets up early)

Turkish: NP VP – ir / –yor Tense

a. Biz gide r iz / bɪz gɪderɪz /

we + go + present suffix + personal suffix (we) (we go)

b. Ben bir ses duyu yor um / ben bɪr ses dʊjʊjɔ:rʊm /

I + a + sound + hear – ing + personal suffix (I)

I am hearing a sound

c. O erken kalk ar / ıyor / ɔ: erken kælkærəjɔ:r /

He + early + get up (pres./ prog. suffix) + No personal suffix stands for (he / she).

He gets up early.

or He is getting up early (literal translation).

2- Non-verbal (substantival) sentences.

Although the non-verbal (substantival) sentences are parallel in the two languages, the word order is naturally different. The examples stated will illustrate the differences:

English: NP Tense Be { NP / Adj. p / Adv. P. }

Turkish: NP { NP / Adj. p / Adv. P. } + Tense Be

Examples:

English: NP Tense Be NP
Ahmed (present) be a teacher
(Ahmed is a teacher)

Turkish: NP NP Tense (assertive)

Ahmet öğretmen dir / æhmet əʊretmendır /
Ahmet + teacher + Be (present)
Ahmet öğretmendir (Ahmed is a teacher).

Turkish assertive "– dir" is similar to the English verb to be in non-verbal sentences.

English: NP Tense Be Adj. P.
Ahmed (past) Be tired
(Ahmed was tired)

Turkish: NP Adj. P. Tense

Ahmet yorgun du (past Be) / æhmet jɔ:rgʊndʊ /
Ahmet + tired + Be (past)
(Ahmed was tired)

English: NP Tense Be Adv. P.
Ahmed (past) be at home
(Ahmed was at home)

Turkish: NP Adv. P. Tense

Ahmet ev de y idi (past Be)

Ahmet + home + at + buffer sound (y) + Be (past)

Ahmet evdeyidi / æhmet evdejɪdɪ /

(Ahmed was at home).

The modal verbs in English are separate and they precede the main verb as the following example:

You should see a doctor.

The Turkish modal verbs are used as suffixes and they cannot be separated from the verb as –malı in the following example:

Onun la konuş malı sın / ɔ:nʊnlæ kɔ:nʊʃmæləsən /

him + to + talk + modal (should) + personal suffix (you)

(you should talk to him).

It must be noted that there is a difference between should and may in terms of formality in English; however there is no such thing in Turkish as the examples stated below:

You may see your father (permission)

You should see a doctor (obligation)

While in Turkish:

doktora görün meli sin / dɔ:ktɔ:ræ gəʊrynmelɪsɪn /

doctor + see + may / should + personal suffix (you)

you should / may see the doctor

– melı in Turkish is used for obligation and permission. We can specify the meaning in context or by using helping phrases like affedersiniz/ æfeders□n□z / (please).

In English, we have one form of past tense (– ed)

Example: I wrote a letter (past action).

In Turkish, there are two different forms of past tense with different suffixes:

a. Definite past tense (dı morpheme)

This is the eyewitness tense and it states that something definitely happened in the past.

Example: Bir saat önce baba m ev e gel di / bɪr sæa:t əʊndʒe bæbæm eve geldɪ /

one + hour + ago + father + my + home + to + come + definite past suffix (dı).

My father came home an hour ago (I actually saw him)

b. Indefinite past tense (mış suffix)

This tense is used of hearsay and reporting. It is used when the event has not been eye witnessed personally. It is also used for tales and jokes.

Example:

Bir saat önce baba m ev e gel miş / bɪr sæa:t əʊndʒe bæbæm eve gelmɪʃ /

one + hour + ago + father + my + home + to + come + indefinite past suffix (mış).

I believe that my father came home an hour ago (my mother told me so)

Unlike English, Turkish may have a sentence (verb + Aux. + subject) realized by one word and the modal (aux.) attaches to the verb root.

Example:

konuş malı sın / kɔ:nʊʃmæləsən /

talk + modal (should) + personal suffix (you)

You should talk.

IX) General Pedagogical Implications:

Contrastive Analysis was developed and practiced in the 1950s and 1960s and it is based on the following assumptions:

a. The main difficulties in learning a foreign language are due to interference from the first language.

b. Such difficulties coming from interference can be predicted by contrastive analysis.

c. Teaching materials can make use of CA. to reduce the effects of interference (Richard, et, al, 1992).

Accordingly, CA. is inevitable parts of language learning and teaching. Teachers should regard them as signals of progress and diagnosis of problems

when they get the areas of similarities and differences between two languages or more. In this respect, teachers, syllabus designers and test developers should make use of CA. studies to acquire new insights. As Lado makes clear in Ellis "the teacher who has made a comparison of the foreign language with the native language of the students will know what the real problems are and can provide for teaching them, the origin of CA., therefore, were pedagogic." (1985: 23).

Turkish is an inflectionally rich language in which the past tense and plural morphology is totally rule-governed. In English, there are many examples of irregular inflection such as past form of verbs and plural forms of nouns. The majority of English verbs have a simple past tense form that can be described as the addition of one of three variants of the "–ed" (–d, –t, –ed) suffix to a base stem. A significant minority take a so-called "irregular" form which may or may not be systematically related to the stem form or to the forms of other words. This distinction is helpful for teaching English for Turkish learners because irregular inflection is closed and unpredictable.

The other feature of inflectional morphology which needs to be looked more closely while teaching English for Turkish learners is the usage of copula Be and auxiliary Be. Brown stated that "I separated out the several allomorphs and distinguished copulas from auxiliaries. It was clear fairly that the copula-auxiliary distinction was a functional one and that auxiliary use in obligatory contexts developed more slowly than copula use." (1973: 306). Teachers of English for Turkish learners will focus on the distinction between the use of copula Be and auxiliary form. "children acquire Be as a main verb before they acquire Be as an auxiliary verb. So children produce sentences that have a copula verb (e.g. He is hungry) before they produce sentences that include an auxiliary plus a main verb (e.g. He was working)" (O'Grady et al, 1997, 493).

Turkish is classified as a head final language. This characteristic affects the word order of the sentence which can be described as an SOV where the verb is positioned at the end. Turkish learners will face difficulties while learning the auxiliaries because their native language is agglutinative and auxiliaries are considered as suffixes attached to the verb. They are not separate words. The clear distinction between the two languages will facilitate learning.

Teachers of English for Turkish learners may also prepare exercises that are based on Transformational Grammar for their students. Phrase structural rules can be considered kernel. In presenting of a foreign language, sentences representing kernels ought to be taught first as follows:

a. The flower is small (Det N Be Adj).
b. The student is my friend (Det N Be Det N).

c. The man is over there (Det N Be Adv.).

d. The man laughed (Det N V (intra)).

The teachers of English may use "There" transformation exercise as the following example:

"A man is over there" is transformed into "There is a man over there."

They could also expand the verb section by applying auxiliary as follows:

"The man laughed" is expanded to "The man could laugh."

All in all, using different methods based on the distinction between two languages and creating solutions to the problems that students face while learning a language different from their mother tongue may shape the classroom learning efficiently and affect the students' positivity.

Conclusion:

Contrastive linguistics is concerned with comparing two or more languages for the purpose of identifying similarities and differences in areas of phonology, morphology, lexicon and syntax. The results of contrastive analysis are used into language teaching materials, syllabuses and tests. Oller and Ziahosseiny (1970) stated that similarities and differences between two languages are the basis for learning a foreign language.

The paper attempted to compare Turkish and English in terms of describing the similarities and differences between them in the area of auxiliaries. The paper found the following major conclusions:

1- Auxiliaries in Turkish are considered as affixes but they are separate words in English:

Ben suyu iç iyoru m / ben sʊjʊ ɪtʃɪjɔːrʊm /

I + water + drink + – ing + personal suffix (I)

I am drinking water

2- English has one past form but Turkish has two different forms:

English: my father came home (one form).

Turkish: a. Babam eve geldi (definite past suffix). /bæbæm eve geldɪ /

My father came home (I actually saw him).

b. Babam eve gelmiş (indefinite past suffix). / bæbæm eve gelmɪʃ/
It is said that my father came home (one told me I did not see him)

3- In Turkish, the negative suffix is attached to the root (verb) according to the vowel harmony rule (–ma, – me) as follows

Çalısmayısın / tʃæləʃmæjəsən /

(you do not work)

In English negative suffix is attached to auxiliaries (Do, have, Be).

Example: I do not work hard

4- The position of Aux. in relation to VP is different in both languages. English is an SVO language but Turkish is an SOV language.

5- English modals precede the main verbs but the Turkish modals follow them as follows: (must, – malı)

Onu yap malı sın / ɔːnʊ jæpmæləsən /

It + do + modal (must) + personal suffix (you)

you must do it

6- Turkish modals are used as suffixes and they cannot be separated from the verbs but English modals are used as separate words as the following examples: (malı; should)

Onun la konuş malı sın / ɔːnʊnlæ kɔːnʊʃmæləsən /

him + to + talk + modal (should) + personal suffix (you)

you should talk to him

7- There is a difference between should and may in terms of formality in English; however there is no such thing in Turkish:

You may enter (permission)

you should leave (obligation)

Oturmalısın / ɔːtʊrmæləsən /

(you should / may sit down)

8- Unlike English, Turkish may have a sentence of (S. + V. + aux.) realized by one word as the following example:

Çalış malı sın / tʃæləʃmælɪsɪn /

work + modal (should) + personal suffix (you)

you should work.

الافعال المساعدة باللغتين التركية والانجليزية: دراسة مقارنة

إبراهيم أبو شهاب، قسم اللغة الإنجليزية، جامعة الزيتونة الأردنية الخاصة، عمان، الأردن.

ملخص

اهتمت هذه الدراسة بإيجاد التشابه والاختلاف بين اللغة الإنجليزية واللغة التركية في مجال الأفعال المساعدة وتوصلت إلى عدة نتائج فبينت كيفية استخدام الأفعال المساعدة في اللغتين إذ أن الجملة التركية تتكون من الفاعل الذي تبدأ به الجملة والفعل الذي تنتهي به ويأتي في وسطها مكملات الجملة (SOV)، بينما تتكون الجملة الإنجليزية من الفاعل ثم الفعل الذي يأتي بعد الفاعل مباشرة (SVO).

وذكرت أن استخدام الأفعال المساعدة (Modals) يدخل في باب الملاحق في اللغة التركية بينما تستخدم هذه الأفعال منفصلة في اللغة الإنجليزية ومثالها (malı, should –)

Onun la konuş malı sın / ɔ:nʊnlæ kɔ:nʊʃmæləsən /
him + to + talk + should (malı) + personal suffix (you)
You should talk to him

وتوصلت الدراسة إلى أن ملاحق النفي في اللغة التركية (ma, – me–) تأتي بعد جذر الفعل مباشرة، بينما تستخدم أداة النفي (not) في اللغة الإنجليزية بعد الأفعال المساعدة (Do, Have, Be) ومثالها:

Çalış – ma – yısın (çalışmayısın) / tʃæləʃmæjəsən /
work + not (ma) + buffer sound (y) + personal suffix (you)
You do not work.

وأبرزت الدراسة خصيصة في اللغة التركية إذ أن الكلمة الواحدة فيها قد تتكون من الفاعل ثم الفعل الرئيس ثم الفعل المساعد كما في المثال الآتي:

gele cek sin / geledʒ eksɪ n /
come + future suffix + personal suffix (you)
(you will come)

* The paper was received on Nov. 19, 2008 and accepted for publication on June 16, 2009.

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The Arab Journal For Arts Vol. 7 No. 2, 2010, pp. 205-222

The Goals and Discourses of Diana Abu-Jaber's *Crescent* and John Updidke's' *Terrorist*

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Abstract

The Arab community in the United States and the Arabs and Muslims in general all over the world have become the subject of many literary works in the West especially in the aftermath of the Gulf War and the tragic events of September 11, 2001. Diana Abu-Jaber's novel *Crescent* (2003) and John Updidke's novel *Terrorist* (200) are two good examples of such works. Despite the fact that the two writers deal almost with the same subject, i.e. the situation of Arab-Americans and other ethnic minorities in the U. S., they draw two contrasting images of the lives, aspirations and concerns of these minorities. While Updike depicts his Arab-American characters and the black community in a negative manner, Abu-Jaber presents a positive picture of these characters and those drawn from other ethnic minorities. The researcher argues that while Abu-Jaber utilizes the questions of identity, hybridity and multiculturalism to promote a greater degree of racial integration and coexistence, Updike uses these motifs to further deepen the conflict between ethnic minorities and the mainstream American culture. Abu-Jaber's approach is basically cultural and open-minded towards all humans while that of Updike is predominantly political and prejudiced against the Arabs, the Muslims and Islam. The writer concludes that the two writers use different discourses and have different aims and that America is in need for a better and a true understanding of the Arabs, Islam and the Muslims.

This paper aims at investigating the presentation of the image of Arab-Americans in Diana Abu-Jaber's *Crescent* (2003) and John Updike's *Terrorist* (2006). *Crescent* was written during the period of the embargo imposed on Iraq following the end of the Gulf War but had not been quite finished when the invasion of Iraq started in 2003. *Terrorist* was written in the aftermath of September 11, 2001 and makes specific references to its tragic events. Both novels are concerned with the life of Arab-Americans but with completely different objectives and discourses. Both novels deal with such questions as identity, ethnicity, color, hybridity and multiculturalism but again with different orientations and motives. Whereas Abu-Jaber's motives are mainly cultural,

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Updidke's objectives are basically political. It should also be stated at the outset that this paper is not concerned with discourse analysis *per se* even though it contains the word "discourse" in its title. And that is why there is no reference to the most important studies on discourse analysis such as that of Norman Fairclough (2001) and many other important studies in this field. Here I use "discourse" in the sense that Michel Foucault uses it, that is to denote a coherent body of statements meant to define an object and to generate concepts with which to analyze it, i.e., legal discourse, medical, discourse, aesthetic discourse, etc. (Peck and Coyle: 142). In the current context, the term "discourse" is not meant to be identified with discourse analysis but rather to indicate the language and the texture of the two texts being discussed and the way the two writers use language in order to present their themes, concepts and characters and the way they divide reality in terms of binary opposites or dichotomies such as white/black, faithful/unfaithful, civilized/uncivilized, superior/inferior, etc.

In this paper I argue that the mainstream American writer John Updike and the Arab-American writer Diana Abu-Jaber offer two contrasting pictures of Arab-Americans who were born and grew up in the U. S. Whereas Abu-Jaber uses multiculturalism in order to create a sense of connection, harmony, sympathy and understanding among different cultural and ethnic entities, Updike employs it so as to create a gap or a rupture among the ethnic and cultural groups he depicts in his novel. As he clarifies in a previous interview, Updike draws upon multiculturalism and world literatures in order to augment the "versatility" of his works: "I tried to temper or flavor it [his Americanness] with a sense of world literature. And I think I've become a more versatile writer because of that" (Interview, 2000, http:// www.salon.com/ 08/ features/ updike2.html).On the other hand, Abu-Jaber asserts that it is necessary for all Americans to try and open up to other cultures and to understand them better. In an interview with Angela Miyuki Mackintosh, she maintains: "I wish Americans were better informed about their dealings with the rest of the world… Americans are well-meaning– I believe in the fundamental benevolence of all people…. It is critical for all of us to actively educate ourselves about other cultures". In other words, each of the two writers uses his/her interest in multiculturalism and world literature for different purposes as will be made clear in the rest of this article.

To further illustrate the main discussion, this research draws upon the cultural studies critical approach, citizenship studies and the critical race theory as its main paradigms. Accordingly, the paper examines the interrelationships among race, gender, postcolonial studies, ethnic studies, politics and literature as presented in the two novels examined. As well known, cultural studies is a multidisciplinary and an all-inclusive critical approach that transcends boundaries and is also politically engaged. As a result, this research is concerned

with the power structures of society at large; it questions and critiques the inequalities within the power structures of the American society and the way the two writers seek to present the nature of the interracial, intercommunal and intercultural relationships. American society is multicultural and multiracial, perhaps more than any other society. That is why exploring such motifs as identity, hybridity, acculturation, citizenship, social equality/inequality and cultural assimilation becomes of paramount importance. The United States has various literatures, including African-American, Latino, American-Indian, Asian-American, Arab-American and mainstream American literature.

Another paradigm which is in place in this context is postcolonial theory. In many of his works, the Palestinian-born American critic and scholar Edward Said has written extensively on "Orientalism" or the Western discourse for dominating and restructuring the East by portraying the Oriental as "primitive", irrational," depraved" "child-like," "different," and "inferior" in contrast with the "advanced," rational," "virtuous," "mature" "normal", "sophisticated" and "superior" Westerner. Said further reveals that a large number of individuals in the academic, literary, political, social and philosophical realms accept and employ this distinction between the East and the West in their theories, literary works and in their social and political description of the Orient. Said's concept of "Orientalism" is an important touchstone to the postcolonial critical approach, as he describes the stereotypical discourse about the East as constructed by the West, a discourse that tries to "other" the Easterners on the basis of Western anxieties and preoccupations. As we shall see in the ensuing discussion, Updike is no exception to this trend. By contrast, Abu-Jaber is not concerned with this way of presenting the East. Rather, she is more concerned with internationalizing and humanizing the whole issue by introducing her characters from different nationalities and different cultural backgrounds. Indeed, her novel can be best seen in the light of postmodern theory with its open-mindedness, comprehensibility, variety and multiplicity.

Recent ethnic and racial studies have challenged the traditional notion of race, dispelling the idea of racial or ethnic superiority. It has also been found that "race has no genetic markers" (Guerin et al, 2005: 287). Talking about American society, most studies predict that by the year 2050 white "Anglo-Americans will no longer be the majority, nor English necessarily the most widely spoken language" (ibid: 286-286). Moreover, we are told that "if interracial trends continue, Americans will be puzzled by race distinctions from the past since children of multicultural backgrounds may be the norm rather than the exception" (ibid: 287). In his article entitled "Race", Henry Louis Gates, Jr. (1986: 4) asserts that "race" is arbitrary: "We carelessly use language in such a way as to *will* this sense of *natural* difference into our formulations. To dos so is

a pernicious act of language, one which exacerbates the complex problem of cultural or ethnic difference, rather than to assuage or redress it" (qtd. in Guerin: 288). Actually, the concept of race is still a critical feature of many societies, particularly American, and is full of contradictions, doubts and ambiguities. Many big questions pervade ethnic and cultural studies about the basic constituents of culture: Are some cultures superior or canonized? Whose culture should be accepted as the norm? Should one distance one-self from one's cultural roots or should they embrace the new cultural norms available in the mainstream culture? Should one have a unicultural, a bicultural or a multicultural identity? Is the pure-bred superior to or better than the hybrid? Furthermore, questions of the "Us" and the "Other," "minority" and "majority", "marginal" and "mainstream" still remain debatable and controversial. As we shall see, each of the two novels under discussion handles such questions as interracial relationships, multiculturalism, hybridity and US-born minorities from different and even opposing perspectives and different objectives.

The two novels can also be seen in the light the nascent critical race theory which is actually more applicable in the area of social research than in literary studies. Nevertheless, racial theory is a key concept in Edward Said's majestic book *Orientalismm* (1978). This theory encompasses the white, black, brown and other colors, and looks at race relations with a view to promoting racial equality especially because its advocates are committed to racial and social justice. It is particularly relevant to American studies and the American society because of its multifarious racial and cultural make-ups. Indeed, the notion of race pervades Updike's *Terrorist* as shall be explained later; that is why critical race theory presents a useful paradigm in the discussion of this novel especially when the subjects of social and racial injustice, gender and power are brought into question.

Crescent interweaves a story of love and mutual understanding across different cultures and diverse ethnicities. The female protagonist of this novel, Sirine, is the only daughter of an Iraqi-American father and an Irish-American mother. Sirine's parents worked for humanitarian agencies around the world and died during one of those humanitarian missions. Living with her Iraqi-American uncle and working as a chef at Um-Nadia's café, Sirine meets with many Arab students, Arab expatriates and several other people from different nationalities. Among these frequent visitors to the café is the Iraqi-born professor of languages, Hanif or Han, with whom Sirine develops a love relationship that stirs her romantic passions and her nostalgia for her father's culture, language and Arab traditions and heritage. Featuring in the two parallel stories that constitute the novel, the fairy-tale story and Han-Sirine love story, Sirine develops with Han a love relationship tinged with a mixture of doubt and

certainty with no clear ending in sight as to whether or not the romantic relationship will continue in the future.

Though Sirine faces a problem regarding her hybridity, her being half-Arab and half-American, she is on other occasions keen on challenging the boundaries of identification. When asked what faith she belongs to, Sirine replies: "I suppose I don't actually have one…. Well, I believe in lots of things" (161). Although Sirine is conscious of her ethnic and cultural identity, she feels connected to other expatriates (Arabs, Turks, Iranians, Latinos and white Americans). Fadda-Conray rightly observes that "Sirine's interactive role helps build bridges of communication and understanding among Arab and non-Arab ethnic and cultural groups but suffers from the stringent dictates of her mainstream American society that insists on a clear and stringent demarcation of identity and citizenship" (6). Nevertheless, Sirine lives a kind of free, liberal and secular life that allows for cultural diversity and ethnic plurality. Nathan, on the other hand, is a white American who has a great interest in Arabic literature, and his translation of Ernest Hemingway into Arabic is indicative of his endeavor to cross boundaries and establish bridges between different cultures. He even finds a sense of self through traveling and living among other cultures, particularly Iraqi culture. Though he is a white American citizen, he is just like the other expatriates, suffering from loneliness and looking for communal life and belonging that the other expatriates are also seeking. As he tells Sirine: "I grew up half-wild. My parents divorced when I was a kid and all I knew about families was what I learned from watching other people. I went into the Middle East without any idea of who I was – there was no needle on my compass, you know? But the people in Iraq – this sounds dumb and romantic – but the thing is, they really seemed to know who they were" (77).

Crescent seems to have an open-minded view that transcends the barriers of color and ethnicity. Despite her anxiety about her origin, her identity and her color, Sirine ultimately defies the designations based on color, hybridity or ethnicity. "Unable to determine whether she is white or black, Sirine concludes that skin color, though significant, remains an erroneous and a slippery racial and ethnic marker" ("Yousef: 13). Sirine is finally reconciled to her view of herself as half-Arab, half- American. Most of the characters have different ethnic and cultural backgrounds; nevertheless, the writer tries to place them in a dialogue that is conducive to a mutually beneficial interaction and understanding. Throughout the novel, these divergent ethnic groups are brought together and interact through their shared experience of exile and alienation, regardless of race or color. On the whole, the novel shows how many of the demarcations of identity are often illusory. As Azis, the Syrian poet in the novel asserts, "I contain multitudes. I defy classification" (83). Nathan is American,

but he has close ties with the members of these minority groups. Like Sirine, he feels uncertain about his identity and often identifies himself with his love for Han's sister, Laila: "I wanted to marry her. But I was just a guest in her world—her parents, her brothers. I couldn't take her away" 321). Azis also diminishes the idea of differences between Arab-Americans and Latinos and dismisses the notion of stereotypes that categorize people into separate entities (227-228). In short, the novel resists the idea of stereotyping or categorization and posits instead the notion of ethnic communities communicating and coexisting with each other.

Abu-Jaber utilizes the basic identity markers such as language, religion, traditions and food to bring together people from different cultural backgrounds. Throughout the novel, language is used as a means of building bridges of communication and creating a sense of familiarity among the characters. Moreover, "in-betweenness" and code-switching become major features of this postmodernist novel. Characters who code-switch move back and forth between English and Arabic or intersperse their predominantly English words and utterances with some Arabic words. For example, when describing the interior of a mosque to Sirine, Han uses the Arabic word *athan* in an attempt to get closer to the original Arabic concept and to establish a more intimate relationship with the addressee. In fact, the novel is replete with Arabic words such as *Habeebti*,*baklava*, *tabboulleh*,*ya elbi*,*miskilala*, *frekeh*, etc., most of which represent the names of types of Arabic food or words of endearment. It is also noticeable that when native Arabic-speakers use some of these words, they often add a few words in English in order to explain them as we can see in this conversation where the English equivalent of the Arabic word *mejnnoona* is given as "crazy" as illustrated by the addresser.

"What do they call that again, the crazy woman tree?"

"The *mejnoona*. Love-crazy" (121).

And in this one where the English equivalent of the Arabic expression of endearment "ya elbi" is given immediately: "*Ya elbi*," he says. *My heart*" (133). Moreover, America is presented as a meeting place of different but harmonious characters, identities, languages and cultures and there is a crossing of boundaries between America and the Arab world and between America and the rest of the world. In the end, the novelist creates a lively picture of average, nostalgic, happy characters that enjoy their lives while empathizing with their cultures of origin and adapting to a mainstream American culture, a picture that is reminiscent of her other novel, *Arabian Jazz* (1993).

As an identity marker, food is also used in *Crescent* as a connector that draws to Um-Nadia's café not only the Arab characters but all the other

characters as well. As Abu-Jaber puts it in an interview with Andrea Shalal-Esa, "Food is such a great human connector, it's so intimate…. To me, [food] is the most immediate and powerful way of creating the metaphor of the hearth and a gathering place where the collective forms [sic]"(Interview with Andrea Shalal-Esa). Despite the feelings of exile and nostalgia that permeate the whole narrative, food sharing creates a sense of communal life that helps dissipate any feelings of alienation or loss. In fact, food brings different cultural and ethnic groups together, simultaneously working as a medium of unification and separation as we can see clearly in one of the roundtable talks that takes place between the characters drawn from different nationalities:

> The conversation at the table meanders through the rest of the meal. While Nathan becomes moody and withdrawn, the rest of them talk about the foreign but not unpleasant experience of eating turkey, and the pleasure of the rice stuffing…. They gossip about the café customers and the professors at the university and then they start to talk about Middle Eastern politics, which upsets everyone. (186)

The result of such gatherings is both the creation of communal life and the assertion of independent identity. Actually, the impact of the food metaphor is further enhanced by the frequent references to native Arab culture and traditions as well as to indigenous myths and traditional storytelling represented by the Arabian-Nights-type story narrated by Sirine's uncle to dissipate her loneliness and to alleviate her feelings of nostalgia and alienation. Meanwhile, religion is not used in this novel as a divisive factor in any way. By and large, characters in this novel do not care about which religion they belong to or which ideology they follow. Throughout the novel, the writer's message is quite clear: empathize and build bridges of communication with the other whether coming from one's ethnic group or from outside it.

Compared with *Crescent*, Updike's *Terrorist* draws a completely different picture of the Arabs and the Middle East as well as religion, color, ethnic origin, citizenship, hybridity and multiculturalism. Set in the fictive city of New Prospect which is a depressed town in New Jersey and home to a large Arab and black population, *Terrorist* is a novel that tells the story of a New Jersey teenager, Ahmad Ashmawy, the son an Egyptian father and an Irish-American Catholic mother. As Updike puts it in a somewhat disparaging manner: "Ahmad is the product of a red-haired American mother, Irish by ancestry, and an Egyptian exchange student whose ancestors had been baked since the time of the Pharaohs in the muddy rice and flax fields of the overflowing Nile" (13). Apparently, the marriage was one of convenience rather than love. Speaking as Updidke's mouthpiece, Ahmad recounts:

My father well knew that marrying an American citizen, however trashy and immoral she was, would gain him American citizenship, and so it did, but not American know-how, nor the network of acquaintance that leads to American prosperity. Having despaired of ever earning more than a menial living by the time I was three, he decamped. (35)

Now Ahmad is studying at high school, where Jack Levy, an American Jew, is his guidance counselor. At 11 and following the father's desertion of the family, Ahmad takes to an extreme version of Islam which leads him to choose what he deems as the "the straight path". Feeling very much in disgust with American life around him and prompted by his feelings of isolation and frustration and indoctrinated by the Yemeni shaikh/imam against the American values, Ahmad develops a suicidal tendency that would eventually lead him to an attempt to blow up the Lincoln Tunnel under the Hudson River. A struggle for Ahmad's soul, as it were, takes place between Levy and Shaikh Rashid, Ahmad's spiritual teacher and something of a father figure. The imam teaches Ahmad the Holy Koran and is keen on conveying to him some radical and extreme precepts that inspire hatred and a tendency to destroy those around him: "He [the imam] said the college track exposed me to corrupting influences – bad philosophy and bad literature. Western culture is Godless" (38). Ahmad is imbued with an austere and extreme format of Islam that leads him to regard contemptuously the self-indulgent society around him in the declining town of New Prospect, New Jersey. Picking up on the imam's words, Ahmad tells Jack Levy: "And because it [Western culture] has no God, it is obsessed with sex and luxury goods. Look at television, Mr. Levy, how it's always using sex to sell you things you don't need" (38).

After graduation from high school, Ahmad plans to become a truck driver, a vocation he chooses at the advice of his spiritual mentor and against the wishes of his school counselor. Jack tries to steer Ahamad away from his chosen path and toward community college. Ahmad's spiritual mentor secures for him a job at a furnishing store where he meets Charlie, who recruits him for the bombing plot but is later revealed to have been working under cover for the CIA. Ahmad's career as a truck driver eventually leads to an involvement in a plot to destroy an American bridge between New York and New Jersey and to kill as many infidels (non-Muslims) as possible.

Ahmad is finally deflected from his act by his guidance counselor at high school, Jack Levy. Alerted by Hermione Fogel, sister of Jack's wife and an assistant to the director at U. S. Department of Homeland Security, about Ahmad's involvement in a terrorist plot, Jack meets Ahmad just before he reaches the tunnel and succeeds in convincing him not to go through with the bombing: "Jack Levy realizes that he is in charge now. 'So,' he says. 'The

question becomes, What do we do now? Let's get this truck back to Jersey. They'll be happy to see it. And happy to see you, I regret to say. But you committed no crime…'" (308). Ultimately, Ahmad is redeemed and the tunnel and the lives of many innocent citizens are saved.

Unlike Abu-Jaber, Updike does not present the Arab-Muslim characters with any sense of belonging to the county they live in. This may well indicate that they are not entitled to a full American identity or American citizenship. Arabs are shown as seeking American citizenship for convenience or for personal and short-terms interests without being devoted to the American nation. All that Ahmad's father cared about was to get an "American citizenship" (35). The question of citizenship remains for Ahmad as enigmatic as ever. Ahmad is an Arab-American who feels trapped between opposing designations. Is he an American? An Arab? Or both? Ahmad resorts to Islam as a means of looking for and consequently asserting his identity after he realizes he is fatherless, isolated and alienated at school and in his own social milieu. Actually, Islam becomes for him an alternative identity that he hopes would compensate for his feelings of isolation from family and society. Undoubtedly, Ahmad experiences some feelings of exile and alienation in the country in which he was born and bred. Nevertheless, Ahmad is not very much concerned about his identity or his hybridity as Sirine is in *Crescent*. For the writer, all that matters is that Ahmad is a "fanatic" Arab or Muslim in spite of his American birth and upbringing.

Throughout his novel, Updike seems to be working off stereotypes; his portrayal of Ahmad and other Arab characters in general is stereotypical and lacks psychological depth. As Arabs, Ahmad and the Yemeni shaikh are depicted as being brutes, primitive, unintelligent, murderers and suicide bombers. Ahmad persistently views Americans as being lascivious and materialistic, and never wavers from this preordained opinion. Both he and the shaikh are disaffected with mainstream American culture and both of them are against all forms of American life and all ideas of progress and modern technology. Reiterating the imam's words, Ahmad exclaims: "My teacher at the mosque says that all unbelievers are our enemies. The prophet said that eventually all unbelievers must be destroyed" (68). Updike makes Ahmad an ascetic religious man with a strong determination to condemn and attack what he considers American lasciviousness and moral and spiritual decadence. One wonders why an 18-year old Islamist born and bred in the U. S. should develop these feelings of bigotry, animosity and finally chooses to commit suicide in a manner that would kill as many people as possible and in the name of Islam:

"Dear boy, I have not coerced you, have I?"

"Why, no, master. How could you?"

I mean, you have volunteered out of the fullness of your faith?"

"Yes, and out of hatred of those ho mock and ignore God".
(270)

Attributing Ahmad's inclinations to hatred, violence and destruction to the teachings of Islam and to his Islamic doctrine is stereotypical and prejudiced. Moderate Islam or Islam proper does not encourage such acts of behavior. Rather, Islam is more inclined toward moderation, reasoning, control and understanding when dealing with other faiths or doctrines. Actually, what Updike is doing in this novel is reminiscent of what Edward Said and Homi Bhabha had said about the West's stereotypical images of the Orient in order to distort its real entity and ultimately to control it (Said, *Orientalism*: 300; Bhabha, "Of Mimicry and Man 1984:284, 312).

The portrayal of the other Arab characters, especially Charlie Chehab, is also predominantly stereotypical and negative. Charlie is hypocritical, deceptive and violence-prone despite his claim to being a devout Muslim. Together with the Yemeni imam/shaikh, Charlie insinuates Ahmad through Islam teachings to drive the truck full of fertilizer and racing fuel to blow the Lincoln Tunnel. What Ahmad considered to be a promising job, ultimately led him into a terrorist plot through the misguidance of Charlie, his presumed best and closet friend. Charlie also expresses what appear to be deep-rooted anti-American sentiments (147) but he turns out to be an FBI undercover agent at the end. Indeed, All Arab-American characters, with the possible exception of Charlie's father, are presented as being inassimilable and unable to adapt to the American way of life. Ahmad's father, the imam, Charlie and Ahmad himself are all presented as being disoriented with regard to their American identity. As a minority, Arabs are shown as "fanatic", uncivilized, hostile and dangerous people who continuously pose a threat to American and Western civilization. The most conspicuous example, in addition to Ahmad, is of course the Yemeni imam who is presented as being treacherous, anti-American, prone to violence and against any sort of progress or modernity. For the Secretary, all imams "preach terrible things against America, but some of them go beyond that. I mean, in advocating violence against the state" 134).

As a racial group, Arabs are also denigrated and disparaged. Apparently Siding with the ruffian Tylenol Jones, who is Joryleen's boyfriend, the narrator often empowers Tylenol to use the term "Arab" in a derogative sense as can be evident in these few examples from Tylenol's railings against Arabs, particularly his rival Ahmad: "Hey, Arab" he says (15); "You are an Arab. You don't go there" (97); "black Muslims I don’t' diss, but you, not black, you not anything but a poor shithead. You no raghead, you a *shit*head" (16). Virtually, all Arabs or Muslims are portrayed with an obvious racial prejudice or bias. From the

Secretary's viewpoint, the "so-called Arab-Americans" have replaced the whites in the cities and in the factories, and most of them live on the state's welfare and "have too many rights and not enough duties" (260-261).

However, it is worth noting that the novel is critical not only of Arabs, Islam and Muslims. It is also critical of Americans in many respects. It contains a fervid criticism of many facets of modern American life both in moral and material terms and concentrates on images of decay that the inhabitants of the city of New prospect live in. Referring to the Secretary who is responsible for home security, the omniscient narrator elaborates: "His task is to protect in spite of itself a nation of nearly three hundred million anarchic souls, their millions of daily irrational impulse and self-indulgent actions …" (44). Speaking to his mistress Terry who is also Ahmad's mother, Jack Levy exclaims: "All I'm saying is that kids like Ahmad need to have something they don't get from society any more. Society doesn't let them be innocent any more. The crazy Arabs are right—hedonism, nihilism, that's all we offer…" (205). Moreover, it is also worth pointing out that Updike is not totally demonizing his Arab characters. In fact, Ahmad turns out to be one of the sympathetic characters the reader can find in any narrative especially when we see him suffering at the hands of his rival in the love for the American girl Joryleen or when he is finally persuaded to give up his attempted destructive plot.

Likewise, Updike's depiction of colored characters is largely based on ethnic and racial stereotypes. Like the Arab minority, black people are portrayed in a highly negative manner throughout the novel and are presented from a stereotypical perspective. Blacks are shown as an inferior group while the whites are the superior group. Dissatisfied with the current state of affairs, the omniscient narrator complains:

> The majority of security personnel were recruited from the
> minorities, and many women, especially older women,
> recoiled from the intrusion of black or brown fingers into their
> purses. The dozing giant of American racism, lulled by decades
> of official liberal singsong, stirred anew as African-Americans and Hispanics who (it was often complained) "can't even speak
> English properly," acquired the authority to frisk, to question to
> delay, to grant or deny admission and the permission to fly.
> (45-46)

In the city of New Prospect, whites are treated as the elite, and colored people are treated as intruders, drug traffickers or troublemakers (12).

As a matter of fact, there is strong emphasis on race, hybridity and racial classification. Almost all characters are presented in terms of their color or ethnic origin. For example, there is special emphasis on Ahmad's color, mixed origin and Arab descent. He is described as being "a dun-colored boy" (34), "dark"(36) a "black Muslim"(37 and "the product of a white American mother and an Egyptian exchange student" (34). On entering the church, Ahmad is received by "a plumb descendant of slaves [I.e. a 'black man'] "(50). As Mita Bannerjee observes, "Updike presents his own suspect, Ahmad Ashmawy, in racist terms by dwelling on his skin color and his religious practice (19). Ahmad's father is also referred to as "dark, darker than I [Ahmad]" (36) and Muslims are identified as "Blacks". In contrast with the minorities in *Crescent*, who are presented positively, irrespective of their color or ethnic origin, the minorities in *Terrorist*, blacks and Arabs alike, are presented from largely negative ethnic and racial perspectives. In downtown New Prospect, the white suburbans who come to the restaurants are advised to leave the area because of the potential danger coming from the black population: "At night, after a few choice ethnic restaurants have discharged their suburban clientele, a police car will stop and question white pedestrians, on the assumption that they are looking for a drug deal or else need to be advised on the dangers of this environment" (12). Ironically, in the imaginary city of New Prospect in New Jersey, the majority of the residents are blacks and the whites are a tiny minority. However, Blacks are shown as the cause of many problems; they are linked to crime and corruption and many of them end up in jail (148). In spit of their being the majority, they are treated as strangers or intruders.

On the whole, Updike has a low opinion of Arabs, Muslims and blacks. Many blacks in the novel are Muslims and they are treated as a second-class minority and Muslims and Arabs are shown as being obsessed with the intention of inflicting suffering and harm on others. In its broader context, the novel concentrates on the animosity between the Arabs and the Americans, the whites and the blacks. Furthermore, it contains a severe attack against Arab-Muslim societies for what it sees as their backwardness, lack of democracy, abrogation of women's rights and their prejudiced views about Western civilization. For the imam, "women are animals easily led" (10); for both the imam and Ahmad, "movies are sinful and stupid" (144) and both of them hate "the American way" (39). Arab-Americans are described as terrorists and most of them are inherently "fanatic," crazy and scary (93). Even Arabic language is condemned. Despite the fact that Arabic is well known for its florid and beautiful style of writing, for the Secretary, "there's something weird about the language—it makes them feeble-minded, somehow" (259).

By and large, Updike doe not present the doctrine of Islam in an objective and fair manner while understanding Islam properly is what is really needed in order to come to terms with the Muslims in the U. S. and all over the world. Actually, Updike shows neither a transparent nor a convincing picture of Islam. For one thing, Ahmad does not speak as a teenager who was born and grew up in America but as a born terrorist who was brainwashed and trained to become a suicide-bomber. Ahmad is blindly following the instructions of the imam and never stops to reflect on his suicidal mission that would lead to the killing of hundreds of people were it to succeed. A basic Islamic concept, "Jihad" is viewed as being synonymous with terrorism as it is taken to mean the sheer desire to kill in order to be closer to God and to be in Paradise in the company of "*huriiyyat*" or "houris" (305). Similarly, the basic Muslim concept of "in-betweenness" or moderation is not included in the presentation of Islam. Even in his reference to the views of the renowned Egyptian cleric Sayyed Qutub, Updike is far from being fair or objective. He tells us, for example, that for Qutub, Americans are "far from God's piety" and are, therefore, "legitimate targets for assassination" (302), which is obviously a misconceived and a stereotypical statement. Furthermore, the fact that Ahmad's father (an Arab by birth) and mother (of Irish origin) belong to nationalities often associated with fundamentalism and terrorism indicates how Ahmad is conceived of as a born terrorist and not as an American raised and bred in the U. S.

In so doing, Updike seems to be relying heavily on ethnic and religious stereotypes. Instead of going down to the roots of the problem, Updike makes no connection between Ahmad's willingness to take part in a terrorist plot and the U. S. policies in the Middle East. Instead of addressing current Arab-American relations in an objective or positive manner, Updike presents them in terms of "clash of civilizations" or a conflict of religions, to use Samuel Huntington's terminology ("Clash of Civilizations"). In fact, Updike's position is in line with some right-wing American politicians or political scientists such as Samuel Huntington who argues in his political treatise that the primary axis of conflict in the future would be along cultural and religious lines, with China and Islam posing the most serious threats to Western civilization. In this novel, Islam is shown as being diametrically opposed to Christianity, a subject which Updike had already treated in his African novel *The Coup* (1978). In short, the whole novel revolves around the notion of polarities or dichotomies. As Lev Grossman succinctly puts it, "In this novel [i.e. *Terrorist*] there is an obvious conflict between Moslem and Christian, East and West" (1).

Updike seems to have taken his cue from the September 11 attacks in 2001 which contributed to the mobilizing of American public opinion against Arabs and Muslims inside and outside the U. S. One of the consequences of this

reaction was a surge in works of literature and the media depicting the Arabs and the Muslims from an utterly negative if not a hostile viewpoint. In many of these works, Islam and terrorism became almost synonymous and the Muslims and Arabs were presented as prone to violence and hatred against Western nations. Undoubtedly, the acts of September 11 cannot be condoned, but Updike does not try to explore the potential causes of the conflict nor does he bother to show how to solve the outstanding and serious problems that can be linked to them. Instead of trying to solve the problems, he aggravates them even further. Unfortunately, many Americans and Westerners have accepted these sporadic acts of violence as representative of a fanatic and terrorist culture that is keen on destroying American values and American interests—a clear example of stereotyping and image-building. On the other hand, many others have begun to cast doubts on the authenticity of such presentation and to voice concern about the root causes of such violent incidents.

Unlike *Crescent*, *Terrorist* does not present American society as a harmonious multicultural society. Instead, it depicts a society made up of opposing colors and of conflicting racial groups. As Banerjee observes, "*Terrorist* is a novel obsessed with, and not only conscious about, skin color" (16). In *Terrorist*, cultural alienation does not lead to feelings of nostalgia or a quest for original national roots, hybridity and multiculturalism or to seeking some kind of communal life with other minority or majority groups as in *Crescent* but to homegrown opposition, hatred and terrorism. Nevertheless, at the end of the day, Ahmad winds up being the most interesting and, paradoxically enough, perhaps the most sympathetic character through whose viewpoint we see Updike's criticism of American materialism and who finally gives up his premeditated destructive plot.

Conclusion:

Crescent and *Terrorist* draw two contrasting pictures of Arab-Americans, of Arabs and Muslims and of the relationship between America and the Middle East. Compared with *Terrorist*, *Crescent* depicts a completely different picture of America as well as of the Middle East, its cultural heritage, religions and people. In her novel, Diana Abu-Jaber, has focused on the questions of identity, hybridity, exilic existence, assimilation, acculturation and coexistence. Her *Crescent* can be read as a novel that contributes to the ongoing dialogue among the world's diverse cultural communities. In this novel, Abut-Jaber portrays and explores the lives of individuals who belong to a wide range of diverse ethnic and cultural groups and tries to present the events to a Western audience from a positively multicultural viewpoint. Although the characters come from diverse backgrounds, they live in one harmonious community. Their strenuous search for identity and cultural heritage is carried out while trying to preserve a

harmonious existence with the mainstream culture. In this way Abu-Jaber can be associated with some renowned writers such as Naom Chomsky, Edward Said and Homi Bhabha and a group of other Arab-American writers such as Naomi Shihab Nye and Lisa Suhair Majaj and several others who have done their best to cross borders and to promote multiculturalism and intercultural understanding and integration.

Conversely, Updike is calling in his novel for separation and confrontation. Whereas Abu-Jaber endeavors to break down the boundaries and bring together characters from different cultural backgrounds, Updike tries to establish barriers in front of intercultural communication. Instead of joining the voices that are trying to promote ethnic or racial integration and universal co-operation and understanding, Updike builds his work upon cultural, ethnic and religious ruptures. In adopting this attitude, Updike can easily be aligned with such writers and thinkers as Samuel Huntington, Bernard Lewis and V. S. Naipaul, all of whom have been warning against the dangers of the Muslim and the Arab worlds after they had diagnosed Islam as the major opponent of the civilized, democratic West. In their works, Islam is depicted as a culture or a religion of fundamentalism, backwardness and terrorism. Unlike Updike who presents his Arab chanters as being primitive, fanatic, backward and inferior, Abu-Jaber introduces Arab characters of a sophisticated type that is never represented in the Western media or literature. Though the two writers deal with similar motifs, themes and issues, their discourses and objectives are quite different. While Abu-Jaber's discourse is embedded in connections, Updike's discourse is couched in rupture. Nevertheless, the final conclusion that can be drawn from all this dialectic is that neither America nor the Middle East can be fully understood apart from each other.

الأهداف والخطاب في رواية ديانا أبو جابر "الهلال" ورواية جون أبدايك "الإرهابي"

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ملخص

أصبحت الجالية العربية في الولايات المتحدة والعرب والمسلمون عموما في أنحاء العالم موضوعا للعديد من الأعمال الأدبية في الغرب وخاصة في أعقاب حرب الخليج وحوادث الحادي عشر من سبتمبر/أيلول 2001. تشكل رواية الكاتبة الأمريكية من أصل عربي ديانا أبو جابر "الهلال" (2003) ورواية الكاتب الأمريكي جون أبدايك "الإرهابي" (2006) مثالين جيدين على تلك الأعمال. ومع أن كلا الكاتبين يتناولان تقريبا نفس الموضوع وهو وضع الأمريكيين من أصل عربي والأقليات العرقية الأخرى في الولايات المتحدة إلا أنهما يقدمان صورتين مختلفتين لحياة وطموحات واهتمامات هذه الأقليات. ففي الوقت الذي يقدم فيه جون أبدايك صورة سلبية عن الشخوص التي تمثل الأمريكيين العرب والأقليات الأخرى تعرض ديانا أبو جابر صورة ايجابية لتلك الشخوص وكذلك للشخوص المنحدرة من أقليات عرقية أخرى. يبين الباحث أن ديانا أبو جابر تستخدم موضوعات الهوية وامتزاج السلالات والتعددية الثقافية لتحقيق درجة أكبر من التكامل بين الأجناس والتعايش السلمي فيما بينها في حين أن جون أبدايك يستخدم هذه الموضوعات لتعميق هوة الخلاف بين الأقليات العرقية الأمريكية والثقافة الأمريكية السائدة. وبينما يتسم خطاب ديانا أبو جابر في معالجة الموضوع بأنه ثقافي في جوهره ومنفتحا في توجهه نحو الآخر فإن خطاب جون أبدايك يتميز بكونه سياسيا في أساسه ومنحازا ضد العرب والإسلام والمسلمين. ويخلص الباحث إلى أن الكاتبين يستخدمان خطابين مختلفين ولهما أهدافا متباينة وأن الأمريكيين بحاجة إلى فهم أفضل وحقيقي للعرب والإسلام والمسلمين.

* The paper was received on Nov. 2, 2009 and accepted for publication on April 19, 2010.

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The Arab Journal For Arts Vol. 7 No. 2, 2010, pp. 223-242

The polemics of Text and Readers in Hans Robert Jauss' and Wolfgang Iser's Reader- Oriented Critical Theories

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Abstract

This research attempts to highlight Wolfgang Iser's and Hans-Robert-Jauss' theories of reading, as for the reader's role in evaluating, enriching, adding, omitting or modifying on the already existent social and psychological assumptions of the literary text. Bestowing on the text novelty and constant innovation, this process helps the reader transcend what is traditionally prohibited in the text to reach new epistemological and ethical realms concordant with the reader's horizons of expectations.

Hence the theories of Jauss and Iser are held to be intellectually and philosophically important: they are chief among those theories which had attempted to overcome the deficiencies of other contemporary models/definitions of the reader, by promoting positive interaction between the text and the reader. But being heuristic by nature, we can conclude that hey inevitably simplify the complexity of the concept of the reader, in spite of their extensive illustration of the relationship between the elements involved in the process of reading and the dynamic nature of reading itself.

Although Iser's and Jauss' theories of reading have been held as controversial among other reception theories, it remains crucial to the understanding of the nature of literary readers. They do not only urge a constant re-examination of social and individual conventions of the text, but also they have greatly enriched our understanding of the literary reading, a contribution that can never be overestimated.

The article comes to the conclusion that in reading we discover not only alternate visions to explore, but also our own human thirst for freedom of action, ultimate understanding and wish to emancipate from all that hinders our developing human thinking.

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Reader-oriented criticism, as an approach to literary theory, originated initially from a structuralist approach to reading the written text: though the approach can hardly be distinguished from semiotics, the general science of signs, it has laid down new criteria against which the written literary text may be measured, namely, construing meaning from the text can be made by the reader at the cost of the death of the author, as Foucault makes it clear in his "What is an author?". This replacement of the role of the author by that of the reader paved the way remarkably for the introduction of the reader as a site of critical interest.[1] According to this understanding, the "Author God" is replaced by an inter-textual reader who is supposed to read the text "not as if it were some complete, objective process with each element given equal weight and consideration, but as a subjective, transient and pleasurable activity" (Keith Green: *Critical Theory and Practice*: 206-7). In this sense, reading a text is grounded in the reader as a perceiving subject rather than in the text as an authorial statement or self-contained autonomous body that has marked structuralism in its French version. This emphasis on communication and the scientific study of behavior is what distinguished structuralism from semiotics, and is what likely paved the way for a kind of critique of knowledge, and the subject that has marked reader-oriented criticism later.[2]

A similar trend found roots in deconstructive criticism that seeks to dismantle hierarchical oppositions that have structured Western thought: literal/metaphorical, speech/writing, presence/ absence, nature/culture etc. The reader may do the deconstruction by showing that it is not natural and inevitable, but rather reversible. In other words, the reader, in Barbara Johnson's terms, can produce meanings by "teasing out the warring forces of signification within the text itself", in order to define the boundaries of tension between modes of signification in the text (Translator's Introduction: *Dissemination*: xv).

This shift of emphasis from the text to the reader has created in the literary circles a kind of explosion in the literary critical standards against which to measure a text. This whirl came out first in the form of what has been known as phenomenological criticism in the work of the early twentieth century philosopher Edmund Husserl. Husserl argued for the necessity of bypassing the problem of separation between subject and object, consciousness and the world, as objects can hardly be separated from consciousness. This assumption has been developed later by George poulet and J. Hillis Miller, who found the world of an author's consciousness in the entire range of his or her works. But more important has been reader/audience oriented criticism; this type of criticism has been adopted by a wide range of contemporary critics, starting from Roland Barthes, David Bleich, and Gerald Prince down to Wolfgang Iser and Hans Robert Jauss. These critics seem to share the view not only of what constituted

literature, but also of what readers can likely read about/into it, "though they had neither a shared methodology nor a clear pattern of growth", as Peter J. Rabinowitz argues (*Contemporary Literary Theory*: 82). In this regard, Iser's contribution to this assumption is remarkable in his essay "Interaction Between Text and Reader", where he charts the particular potential that the reading process is a dynamic process that goes beyond what is cognitively graspable in the text: reading can neither be predetermined by theoretical conventions nor open to infinite interpretations: he proposes that texts have gaps that need to be filled up by readers; thus, the text becomes a kind of fusion between the imagination of the reader and the text, as the virtual dimension of the text "is not the text itself, nor is it the imagination of the reader: it is the coming together of text and imagination" (Iser: The Reader in the Text: 215). He writes illustrating these views:

Whenever the reader bridges the gaps, communication begins. The gaps function as a kind of pivot on which the whole text-reader relationship revolves. Hence, the structured blanks of the text stimulate the process of ideation to be performed by the reader on terms set by the text … Blanks and negations both control the process of communication in their own different ways: the blanks leave open the connection between textual perspectives, and so spur the reader into coordinating these perspectives and patterns- in other words, they induce the reader to perform basic operations within the text. (Iser*: The Reader in the Text*: 111-12)

Iser' views above came as a reaction to fill in the void created by the collapse of the New Criticism's assumption that the literary text is a system that works and responds to its own internal laws without regard to its context or history: history and context should be considered as external to the system, so as to admit no influence on the workings of the text. On a more pragmatic level, these views were developed by Structuralism to reach or describe the grammar/syntax of literature, on the grounds that literature is structured like a language.[3] Exponents of this claim, including Saussure, Barthes, Genette, Levi-Strauss and Jameson, argue that structures are seen to be complete in themselves inside a larger framework of the literary text (Richard Harland: *Literary Theory from Plato to Barthes*: 135-136). Thus, a semantic analysis of a text would be an analysis of meaning, as description of the grammar/syntax of any particular text would be a description of the formal arrangement of the signs that go into the making of any text. Claude Lévi- Strauss in his *The Raw and the Cooked* contends that in a literature, what kind of text it might be, it can be compared to the grammatical system, in that it both generates and creates certain possibilities (20-45). Such views did not appeal to reader-oriented critics as they believed

that these assumptions seem to have failed to cater for the demands and requirements of the growing interests in the literary text: the new approach to the literary text holds that the internal workings and structures of texts as things "internal", rather than "external" to the overall system that goes into the making of literature. Thus, the belief that meaning is context dependent came to light as a counter premise to the previous allegations of New Criticism that focused on such matters as authorial intention, historical, political or moral considerations, and audience response.

In Iser's view the critic's task can not be confined to reading the text as an object, but rather to find out how the text is likely to affect the reader; significantly, he does not analyze readings of texts, but rather proceeds from focusing on two types of readers: the "implied reader", and the "actual reader". The first stands for the reader when the text creates for itself, whether as gaps in the narrative or as "a network of response-inviting structures" which makes "each individual reader fills in the gaps in his own way" (*The Implied Reader*: 280). In the process of reading, however, the reader's conclusions or realizations of the structures of the text represent actualizations of its gaps. On the other hand, the "actual reader" would likely create his own mental images of the literary text by making use of the "existing stock of experience."[4] Hence**,** the interaction between reader and text results in allowing the reader to be involved "in a learning process of adjusting, correcting and overcoming mistakes", as Richard Harland puts it (*Literary Theory from Plato to Barthes*: 206). For Iser, thus, the text produces certain "blanks" that the reader should fill in: "the reader is drawn into the events and made to supply what is meant from what is not said" (Interaction between Text and Reader: 24). According to this argument, Iser encourages in the reader an active participation in a reading/learning process, which predisposes us to read in certain ways the words of the text which do not represent actual objects, but rather imaginary objects colored by human speech.

Discussing Fielding's *Tom Jones*, Iser argues that "Fielding presents two characters, Allworthy (the Perfect man) and Captain Blifill (the hypocrite). Our viewpoint about Allworthy is later adjusted and modified when Allworthy is taken in by Blifill feigned piety. Such modifications continue to take place in our mind, as we pass through the text. What we hold in our minds is only a series of changing viewpoints which are continually modified in the process of reading. In discussing Fielding's other novel, *Joseph Andrews*, Iser makes a similar argument proposing that "the problems thus aroused are necessary to entangle (the reader) in the configurative meaning he is producing; only when this happens can the effect of the novel really begin to work on the reader" (*The Implied Reader*: 44). In this sense, the text generates meaning for the reader in a virtual space created between reader and text. For Iser, nevertheless, this

creation is problematic, because fiction proposes alternate virtual worlds, where "the actual and the possible can exist simultaneously, transcending thus the given constraints of human experience. According to this understanding reader-response theory fuses past experiences embodied in the text with interests of readers to produce the aesthetic response. This shift of emphasis towards the reader has also been adopted by Hans Robert Jauss, who relies in his theorizing considerably on Gadamer's "Hermeneutics", which focus on the reader's ultimate interest in the text in order to understand it. To understand, in Gadamer's hermeneutics, is to make sense, or an application of something in terms of our own concerns: "To understand a text always means to apply it to ourselves" (*Truth and Method*: 359). Jauss advocates a new type of literary theory in which the role of the critic may be defined as a mediator between how the text was perceived at different stages in history and how it is understood in the present. Thus, he seems to object to two recent trends in literary theory, namely, Formalism and Marxist criticism: formalist criticism with its emphasis on art as technique, and thus by playing down the historical dimension of literature, and Marxist criticism with its view that literature must be understood in relation to social and historical reality.[5]

Jauss does not differentiate between cultures however alien or strange they might be. For him, there are common aspects that make literature a universal phenomenon no matter from which culture they emanate. Thus, the critic's function will not be restricted to the perception of the fundamental differences that exist between past and present readings of literature, but also to overcome that difference. In his early endeavor to establish a dialogical relationship between the literary work and its readers, Jauss initiates his theory of the "horizon of expectations." He calls for a literary history of readers that concentrates on reception rather than production. In Jauss' view, it would be wrong to say that a work is universal, or it can establish its meaning in a final form, because readers at different stages of the history of the work would add, omit or modify on the already existent meanings; in his *Toward an Aesthetic of Reception* (Ch. I), he reacts strongly against those who consider the literary text as a monumental object, or who view meaning as fixed for ever and open to all readers:[6]

A literary work is not an object that stands by itself and that offers the same view to each reader in each period. It is not a monument that monologically reveals its timeless essence. (*Toward an Aesthetic of Reception*: 21)

But according to Jauss, whose authority are we to accept? The interpretations made by the first reader, readings made by later readers, or judgments passed on the same work in the present? Jauss seems to derive his

answers to these questions from Gadamer's philosophical approach to "hermeneutics", who himself follows in the steps of the German philosopher Martin Heidegger. Heidegger believes that we come to consciousness in a world where everything is already predetermined by the whole of human history, human cares and interests that have come before us. Thus, he lays stress upon acts rather than upon consciousness, whereas Gadamer's assures that we have to show interest in the literary work in order to grasp the meanings implied in it. In Gadamer's hermeneutics, understanding a literary text implies an unconscious application of the text's meanings to our own concerns. From this perspective, understanding here becomes closely connected with our experience, or rather with our ability to perceive or recognize the implications of the literary text in terms of our own experience: "To understand a text always means to apply it to ourselves" (*Truth and Method*: 359). According to Gadamer, all interpretations of past literature arise from a dialogue between our cultural concerns and past perspectives which formulate the cultural heritage of the work. Put in this way, Gadamer's approach to establishing a knowledge of the past fuses knower and object, contrary to the assumptions of empirical science which relates "understanding" to a fusion between "knower" and "object".[7] Our present perspective is always determined by the socio-historical conditions of the past assumptions which can "only be grasped through the limited perspective of the present" (*A Reader's Guide*: 123). This means that the historical understanding of a work entails a process of reconstruction of the horizon of expectations already established by readers, or is still in process in the present. Hence, Gadamer's critical assumptions were taken up by Jauss, who, following Gadamer's, insists upon a further stage of production, in the dialogical relationship between the literary work and its readers. K. M. Newton in his *Twentieth-Century Literary Theory* summarizes this interaction between the literary text and the audience in the following words:

> Jauss uses Gadamer's concept of a "fusion of horizons", in which a fusion takes place between the past experiences that are embodied in the text and the interests of its present-day readers, to discuss the relation between the original perception of a literary text and how it is perceived at different stages in history up until the present. (219)

In fact, in his concept of the history of readers, Jauss distinguishes between two types of works of art. Some works may be up to the expectations of the readers of their time; others may not be up to the horizon of expectations of the readers, and thus only becoming readable with the appearance of a new set of expectations. Moreover, some works may come up with a new set of norms, canons and assumptions which may affect the reader's mind directly when they come into contact with them: readers' already-established "prejudices,

adaptations and predicaments of a lived praxis" may change into something different (Jauss: *Towards an aesthetic of Reception*: 41). These new expectations are important insofar as they make room for the "socially formative function of literature"(Ibid: 40), when the writer selects and organizes his horizon of expectations. Thus, by reconstructing the horizon of expectations by readers and writers alike, the literary work achieves its aesthetic effect by gradually destroying these expectations, as time goes on.

Moreover, as these expectations vanish with the passage of time, readers who come later should reconstruct their own expectations to establish their own dialogical relationship with the work. Though Jauss accepts the readers' own reconstruction of their own horizons of expectations, he rejects "the historical objectivism" of the interpreter who raises "his own aesthetic preconceptions to an unacknowledged norm" (Ibid: 29). In his discussion of how Flaubert's *Madame Bovary* was received by the first readers, in France, for instance, Jauss recreates "the real readers" of that time: he points out that the novel was rejected by critics, for its negligence and denial of the accepted norms and canons of its time; thus, Flaubert's formal conventions were also held to be so far out of step as to be totally neutral and uninvolved. This argument brings us back to our assumption made earlier in this article that recreating the real readers of the time can not be achieved without the recreation of the historical readers of the work.

Iser doesn't seem to adopt the same notion about the horizon of expectations and of the real reader: he considers the process of recreation referred to by Jauss as problematic, because the reconstruction "naturally depends on the survival of contemporary documents", and so does that of the horizon of expectations (which depends on "both extrinsic and intrinsic data"(The Iserian Reader: 28). Jauss seems to follow slightly in the steps of the aesthetic critical theory of the new critics. In that he divides literature into great literature that affects readers intellectually/morally, and "culinary or entertainment art" that has little effect on the reader. Though Iser's attitude of literature's quality and power to affect the reader's intentions falls superficially in line with Jauss's assumption, Iser places that power in the text, that points to the "weakness of the prevailing system". On the other hand, literary works that confirm the social codes of the "prevailing systems" may be held as insignificant and secondary.[8] In this sense, texts set the terms, according to which the reader internalizes meanings, though the reader's "store of experience" will share in the process (*The Act of Reading:* 77-80). Thus the work will attain full existence only when readers have exhausted all possibilities of reconstruction of the implied meanings in the text.

This process of recreation would be implemented by the reader's temporal progression through the text, which he describes as "a moving viewpoint" that

involves drastic retrospective revisions for that "which it has to apprehend" (*The Act of Reading:* 109). In this sense, the reader's journey through the text becomes a continuous process of adjustments of viewpoints as the text progresses. We usually hold in our minds certain viewpoints about characters in a particular work of art, but these views are continually modified, as the text adopts certain norms, value systems or "world-views", and suspends their validity within its fictional world, forcing the reader to "actualize" a final evaluation by connecting the incongruent norms and values together. To take Iser's example, in *The Act of Reading*, Fielding's in *Tom Jones* presents two characters, Captain Blifil (the hypocrite), and Allworthy (the perfect man). The reader holds an imaginary idea about "Allworthy" as a perfect man; when Allworthy is deceived by the feigned gaiety of Blifil, we adjust our imaginary viewpoint about "the perfect man in the light of the new development about his character. The reader continues to make such adjustments as the text goes on. Moreover, the reader modifies his convictions about certain norms, value system, or "world-views" according to his/her past experience and "repertoire" of such norms.

Fielding does not tell us, for instance, that Tom lacks "prudence" and "circumspection", though he tells us that he has "A good nature"; we make, as readers, the complex moral judgment on Tom in order to fill "a gap" in the text which is left blank by the writer. We make our own judgment on Tom on the basis of received ideas, in addition to a schematized structure of norms/values presented by the author in the text. Thus, reading, to use Iser's words, "gives us the chance to formulate the unformulated" (*The Act of Reading*: 214-17). This somewhat uneasy division between passive and active reading is referred to by Iser in terms of a split reader: "the actual reader" receives mental images in the process of reading, and subjects them to a stock of experience that adds coloring to them; and the "Implied reader" whom the text creates for itself, and impels us to read in certain ways, amounts to Jauss' the real reader, who is drawn from the critic's social and historical knowledge of the text, or from the author's text. Thus reconstructing the horizon of expectations about a particular literary work requires a fusion between present and past interpretations of the text. Otherwise, the lack of the historical dimension means for Jauss that it will be difficult to establish "the objectifiable system of expectations" that arises for each work in the historical moment of its appearance" (*Question and Answer*: 22). This assumption leads to suggesting that the real reader becomes a hypothetical or an ideal reader.

Unlike the historical reader, the hypothetical reader is created by the critic to receive the work's first interpretations. Iser defines two types of hypothetical readers, namely, the ideal reader and the contemporary reader. He focuses

attention on the former type and rejects the latter one on the grounds that it is difficult to specify this reconsideration of the reader's position in relation to the text. His reconsideration of the reader's position in relation to the text, however, paves the way for a new understanding of the nature of the relationship between the reader and the text. At one extreme, Iser disapproves of the "ideal reader" contending that the existence of such a reader would be unthinkable in the light of the assumption that this reader has to exhaust in full the meaning potential of a literary work; at another extreme, as Iser argues, the total exhaustion of the potential meanings in the fictional text means that the text will cease to offer its readers anything new. Thus the text would lose its raison d' être as a fictional work having the ability to stand the test of time. Moreover, the total consumption of all meaning potential in the text is a ruinous act by itself for literature, as total exhaustion of all potential meaning would mean total relegation of literature itself to a dark footnote in history.[9]

As Jauss locates meaning of texts in the "real reader", who reconstructs the horizon of expectations by making use of available historical data, Norman Holland and Stanley Fish locate the meanings of a particular literary text in the mind of the reader (Holland locates the meaning in the unconscious, while Fish in the internalized personal competences). Fish makes a detailed analysis of his reader by emphasizing on the interpretative activity of the reader as a crucial device in the production of meaning. He gives his reader an identity in order to make the reading activity meaningful. Therefore, he allows his reader to project and sometimes correct his responses as he moves between the lines in his word for word processing of the text. According to this argument, the ideal reader does not exist as a virtual entity, to encompass all meaning potential in the text. Iser's reader "embodies all those predispositions necessary for a literary work to exercise its effect- predispositions laid down, not by an empirical outside reality, but by the text itself" (*The Act of Reading:* 34). Such a reader has been defined as the "implied reader" whose "roots" are "firmly planted in the structure of the text" (Ibid: 34). Iser seems to adopt a new concept about the reader, overcoming the limitations of the concept of the real reader adopted by Jauss, or the concepts adopted by Stanley Fish and Norman Holland, who locate meaning of a text in the internalized competences or the unconscious mind of the reader. On the other hand, Jauss locates meaning in texts in the "real reader", who reconstructs the horizon of expectations by making use of available historical data. Holland gives a detailed account of how specific readers give different interpretations for Faulkner's "Rose for Emily", according to their individual predispositions in his *Reader's Reading* (1975); and Fish summarizes his major theory about the reader-text relationship in his *Is There a Text in this Class?: The Authority of Interpretative Communication* (1980), a position in which a text is the product of

the various forms of interpretations postulated by readers.[10] These ideas bring us to the conclusion that every literary theory is grounded on certain philosophical assumptions, every reading reflects a particular literary theory, and every reader a particular way of reading. Thus, we must admit that there are no theories that can be said to be perfect, as most theories come either to complete previous theories or to contradict/refute their assumptions.

The major difference thus between Iser and Fish or Holland lies in the way the desired effects and responses are produced or elicited from readers: Iser contends that these effects are brought about not by internalized competences or personal desires, but rather by the very structure of the text. Here "instead of asking what the text means, Iser asks what the text does to the reader", because he believes that there is a continuous interaction between the reader and the text, a process that would help shape the aesthetic experience of the reader (David Albertson: Presidential Lectures: 2). Consequently, literary communication, which is effected through a reconstruction of the dialogical relationship between the text and its first readers, for Jauss, comes to life for Iser through the interaction between text and reader (*Question and Answer*: 24).

Iser defines two roles for the reader concordant with the predispositions preset by the text and the actualizations brought about by the reader: in the former example, he defines "the reader's role as a textual structure", while in the latter case, he defines "the reader's role as structured acts" (*The Act of Reading*: 30-35)). In a fictional work, for instance, the author's views are expressed by selecting certain norms, "world views" or value systems that stand for the real world. Thus, the reader would be able to gain access to this "repertoire" of norms, canons and values from an external vantage point that help the reader make sense of the meaning potential in the text. In Fielding's *Tom Jones*, for example, we have different characters standing for different norms: Allworthy enacts (benevelonce), Captain Blifil embodies (hypocricy), and Squire Western represents (the ruling passion). As readers, we look for that complex structure which goes into the making of the various viewpoints expressed in the text. We attempt to pass our moral judgments on Tom's good nature, only in the light of the restrictive norms of other characters: we insert certain received ideas into the interpretation of each character in order to actualize these norms to represent certain world-views we had adopted before.[11] Actualization of norms, value-systems or "world views", for Jauss, can be made through a historical reconstruction of the horizon of expectations for both the audience and the various interpretations of the literary text. Flaubert's *Madame Bovary*, for instance, was rejected by official criticism of the time at the one hand, and by its first readers, on the other, for being too romantic and inconcordant with the norms, value systems or world view of the time. Jauss argues that reconstruction

of the horizon of expectation of *Madame Bovary*'s first readers means the recreation of the real readers of the day (*Question and Answer*: 26-30). In this sense, the literary text is conceived of "as a structure", for both Jauss and Iser, "that elicits aesthetic responses by opening up her or his habitual world view. At the same time, this groundbreaking concern with what a literary text does to its readers "enables the anthropological interest already recognizable in Iser's early writing to come to fruition", as Tom Van Imschoot puts it (*literary Encyclopedia*: 2).

Holding the text as a textual structure, Iser opens up new horizons for the process of reading; he assigns a new potential for reading by shifting the function of reading from interpretation to text processing, in order to provide an aesthetic effect. This radical switch makes Iser himself assume, when commenting on Joyce's *Ulysses*, that the emergence of reception theory was meant first and foremost to replace "the author-oriented perspective by one that is reader-oriented" (*Prospecting*: 136). Thus the author will lose the vantage position as a final absolute authority in the interest of the interpreter who "will no longer fall into the final trap of trying to impose one meaning on his reader, as if that were the right or at least the best, interpretation" (The Act of Reading: 18). The emergence of the aesthetics of the reader, thus, contributes to the assumption that modernist literature can be held as an effective medium for eliciting responses from readers, as is the case with a wide range of modernist novelists' works, including the works of Beckett, Joyce and Faulkner. Iser himself defines his aesthetics of reception as a modernist project; he initiates this assumption by "a programmatic essay on *Ulysses* with a reference to the close relation, since the Romantic era, between new forms of literature and new literary theories which grow out of the literature they seek to understand", as Winfried Fluck argues ("The Search for Distance: Negation and Negativity in Wolfgang Iser's Literary Theory": 17). Here Iser comes close to Jauss, who views literature as a communicative productive means for the description of aesthetic reception experience; but in contrast to Jauss, he does not refer to a variety of alternate modes of aesthetic experience that is articulated by something inaccessible or absent. Iser elaborates this idea remarkably in the final chapter of *the Implied Reader*, "Phenomenology of Reading", where he defines the aesthetic experience of reception as "the realization accomplished by the reader, and the text as an artistic act created by the author (274).

Therefore, the process of reading, for Iser, is a kind of a mutual interaction between the text and the reader. This argument brings us back again to our assumption in this article that the reader and a text are interrelated, not as autonomous objects, but rather as separate entities. Iser seems to be aware of the separation between the text and the reader, especially when he talks about the

implied reader as a phenomenological construct of two poles: as a network of textual structures and as a textual schemata, to borrow Ingarden's term, of structured acts.[12] In this sense, structured acts are realized by the artistic structures created by the author, and the textual structures elicited by the implied reader's continuous interaction with the text. This is a clear indication of the reader playing a role in the interpretative process of the text, and helping to reveal the nature of the literary reading as a process-like experience in the same way Jauss' historical reader shows. This means that Iser's implied reader actively participates in creating the fictional world of the text, in a way, that Jauss historical reader does not.[13]

Jauss contends that the literary work has ongoing, developing meanings that are constructed by the historical reader, because literature "in the fullness of its forms, it allows itself to be referred back only in part and not in any exact manner" (*Toward an Aesthetic of Reception*: 12). The reader should have complete knowledge of the historical norms and full command of the literary conventions to bring about an-aesthetic experience. This is so, because historical knowledge and literary competence are in fact essentials to be possessed by Jauss' idealist historical reader, whose main task is to "deepen the aesthetic impression" of those readers who consider the literary text for pleasure purposes, or refer back to its structure of effect often (*Question and Answer*: 144).

Moreover, Jauss attaches a special significance to the historical reader, as he shifts the priorities of reading from interpretation to understanding in his "The Poetic Text within the Change of Horizons of Reading (1980). The shift of emphasis arises from Jauss' continuous complaint that recent literary theorists have reduced the process of the literary interpretation into mere textual analysis. Here Jauss follows in the steps of Gadamer, who divides reading into three steps: understanding, interpretation, and application in terms of one's own experience: "To understand a text always means to apply it to ourselves" (Gadamer: *Truth and Method*: 359). Gadamer's case is that in order to understand we have to discover an application to our interests, because understanding is a kind of an aesthetic perception of a work. Gadamer's categorical division of aesthetic perception into three levels is meant to help the reader respond to the effects of the text, and play a role in the process of its interpretation. Jauss, following Gadamer, asserts that the three readings are categorically divided only to enter into a genuine dialogue, a free play of question and answer with "a text of aesthetic character" (*Question and Answer:* 144).

The aesthetic experience, thus, results from the "question- and- answer" process, or from the persistent interaction between the text and the reader. In this

sense, the reader becomes internal to the text rather than external as it was previously believed to be, and meaning becomes the result of the subjective experience of the reader rather than the objective intentions of the author. Poulet expresses this new relation by stressing that the text is no more outside or inside the reader, but rather the text is inside the reader and the reader is inside the text (Phenomenology of Reading: 54-55). Each of these two dimensions participates in the process of meaning at a moment of fusion between reader and text. This is particularly relevant in the case of Iser, who, like Jauss, wants to draw attention to the creative process as an ongoing interactive participation of the reader in the production of meaning/s potential in the text. Through this process, the reader will reconstruct the world of the literary text by relating images, ideas, and sentences in the text to their consciousness to actualize the maximum potential meaning in the text.

Reader-oriented theory, thus, focuses upon reception rather than production, interaction that takes place between work and audience, the process of creation that is constituted by readers, and the active participation of the text's "addressees", as Jauss puts it, rather than the original intentions of the author (*Toward an aesthetic of Reception*: 19). Approaching the question of the reader from this perspective enables us to perceive readings as a communicative process, or as an aesthetic experience of the reader down time, as Iser and Jauss argue respectively. The oscillation of the interpretative process, between these two extremes ensures that reader-oriented criticism is not a theory of meaning only, but also a theory of aesthetic reception and experience. As a logical consequence to this new understanding of the relationship between the text and the reader, Jauss' and Iser's theories seem to provide a network of textual perspectives that function as a background against which the process of actualization of meanings would be measured. Thus Iser and Jauss' contribution to literary criticism seems to be immense: they have laid down solid grounds for the analysis, understanding, and evaluation of literature as a reflection of the human experience; instead of asking what the text means they question the text about what it can do to the reader.

From this perspective, Iser's theory of response complements Jauss' theory of reception, as both theories have since set the course for social and communication theories, starting from Gerald Prince's the Zero-Degree Narrattee and Riffaterre's the Super-reader down to W. Gibson's the Mock Reader, Culler's the Ideal Reader and W. C. Booth's the Implied Reader. Prince's reader is someone who possesses certain faculties of reasoning, some basic knowledge, and certain linguistic competence that enables him/her to interpret and understand the plot of and language of the story, but not meanings implied in the story: he depends completely on the narrator for providing all the

information necessary for the interpretation and understanding of the story. On the other hand, Gibson's reader is a fictitious speaker within the text who may replace the real author as an unimportant textual phenomenon. Here Gibson' reader differs from Riffaterre's or Prince's readers, and meets with the formalist argument of the "intentional fallacy" in the text ("literature and Biography": Wellek and Warren: 75). Riffaterre's main contention about "The Superreader" lies in his proposal that we should shift our attention from the study of the language of the text to the study of its effect on the reader, following in that Culler's argument in this concern. The superreader, for Riffaterre, is a kind of synthesis of a whole group of "informants", namely, the author, the translators, the critics and even the footnotes made by the critics of a particular poem. Riffaterre's exposition of the reading process as a temporal movement involving interaction between the text and the reader brings him close to Iser, who brings the reader to critical attention by similarly emphasizing on the interactive relationship between the reader and the text. Hence contemporary reader-oriented criticism including that of Iser and Jauss seems to be of a great significance to the understanding of the interactive relationship between the text and the reader: the new theory attempts not only to overcome the deficiencies of other contemporary models of the reader, but also sets the course for a systematic understanding of the relationship between the elements that go into the making of the dynamic process of reading. A major consequence of all this, for Jauss, is the rewriting of the canon, in a revolutionary way, namely, assigning a new function to the literary history refocused on the reader: it has raised it to the level of "other arts and social forces in the emancipation of mankind" from those taboos or social bonds that are imposed on reading by the ruling morals ("Literary History": *Twentieth Century Literary Theory*: 226).

In this sense, literature's function, as well, can be reconsidered in the light of this new assumption of Jauss, namely, to reflect not only "actual experiences", but also to anticipate "unrealized possibility", and to broaden the "limited space of social behavior"(*Twentieth Century Literay Theory*: 226). Isr seems to be very much aware of the hopes Jauss is putting on literature as the ultimate value of man's existence. Iser and Jauss' surprising comments on the function of literature and the reader serve to highlight the function and aesthetic effects of the literary work the readers are interpreting. Art thus can be seen as "an intermediate realm, situated between an experiential and an intangible reality in history" (Iser: Pater: 69). Here Iser meets with Jauss, as both attach a special significance to the transitional periods in history that invalidate "existing norms" in literature "without replacing them with others" (Pater: 81). In this sense, the relation of art to periods of transition in history makes it possible for literature to embody a kind of in-between world that draws "its tangibility and its legitimation from history" (Pater: 81). In this position lies the revolutionary aspect of Jauss'

attitude, "for his approach", like that of Walter Pater, as Iser puts it, "breaks up existing, solidified forms of life" (pater: 168). Iser's concept of aesthetic innovation above emphasizes the power of art to form the unformulated and to articulate the emergence of the new, in a way to transform the modernist project of reading into a theory of reading known as the reader-response or reception theory. In this way, aesthetic innovation can be seen as a historical exercise for the literary historian, who must determine the nature of the new, and its impact on the reader. Here, according to Jauss, in particular, the diachronic dimension meets with the synchronic cross-sections to assert that literature at any moment in history is virtually a mixture of "a heterogeneous multiplicity" of the present horizon of expectations and of the newly-emergent ("Literary History": *Twentieth Century Literary Theory:* 223).

In conclusion, the paper has discussed the various models of the reader in the context of the reader-oriented criticism, including their strengths and weaknesses, their characteristics in comparison with the Iserian concept of the implied reader and Jauss' concept of the historical reader. It also has shown that the Iserian concept of the implied reader contains within itself two mechanisms: the response-inviting structure of the text and the response-projection mechanism of the reader, in order to make interaction between the text and the reader possible. This assumption has led us to conclude that the approach attempts to simplify the complex concept of the reader by highlighting the relationship between the elements involved in reading itself as a dynamic process. On the other hand, arriving at such a conclusion may allow us to suggest that though Jauss' theory of the historical reader and Iser's theory of the implied reader differ in many respects as pointed out throughout this research, they still have many things in common: both theorists consider the literary reading as an eventful and process-like experience, with the reader dealing with the effect of the literary work and the reader's response to it. Moreover, this research has attempted an investigation of the various models of readers to reveal the similarities and differences between them, shedding light on the respective ways of reading and the philosophical assumptions underlying these models. Although Jauss and Iser's theories of reading have been held as "the most controversial" among other reception theories, it remains crucial to the understanding of the nature of literary reading;[14] they do not only urge a constant re-examination of social and individual conventions of the text, but also they explore "the broader implications of reading for human experience and constitution", as David Allertson contends (Presidential Lectures: 4). It is true that these two theories have their imperfections, but it is equally important to admit their major contribution to the aesthetics of reader-oriented criticism as a whole.

جدلية النص والقرّاء في نظريتي جاوش وآيزر النقديتين

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ملخص

يسلط هذا البحث الضوء على نظريتي ڇاوش وآيزر في القراءة، وخاصة دور القارئ في تقويم النص الأدبي، وإغنائه بالأفكار، والتصورات، والفرضيات الاجتماعية والنفسية، والفكرية التي تضفي على النص نوعاً من التجدد الدائم، والتطور المستمر، الأمر الذي يساعد على تغيير معايير ما هو محظور من الناحية الأخلاقية تقليدياً على القارئ، وذلك بطرح معايير وأسس معرفية وأخلاقية جديدة تتناسب وآفاق توقعات القارئ.

من هذا المنطلق يمكن اعتبار نظريتي آيزر وجاوش مهمتين من الناحية الفكرية والفلسفية، لكونهما من أهم المحاولات النقدية التي أسهمت في تجاوز الثغرات التي اعترت النظريات الأخرى، في تعريفها لماهية القارئ، وذلك من خلال تحفيزهما للتفاعل الإيجابي بين القارئ والنص الأدبي. علاوة على ذلك، وبما أن هاتين النظريتين تركزان على إرشاد القارئ في القراءة، فإن هذا يعني أنهما يبسطان مفهوم القارئ، على الرغم من تطرقهما لشرح العلاقة التي تربط بين جميع مكونات القراءة وطبيعتها الديناميكية.

وعلى الرغم من أن الكثير من النقاد يعتبرون نظريتي ڇاوش وآيزر النقديتين من أكثر النظريات إثارة للجدل، إلا أنهم لا ينكرون أهميتهما في فهم وتحليل طبيعة القرّاء والنص الأدبي على حد سواء، فأهميتهما لا تقتصر على حث القراء على إعادة تمحيص المكونات الذاتية والاجتماعية للنص الأدبي وحسب، وإنما تتعديان ذلك إلى مساهمة لا يمكن إغفال أهميتها في فهمنا للقراءة الأدبية.

يخلص البحث إلى نتيجة مفادها أن النظريتين قد أسهمتا في اكتشاف معالم جديدة في النص، وتشكيل رؤى بديلة، وساعدتا أيضاً على إرواء ظمأنا كقرّاء للعمل من دون قيود، والتفكير اللامحدود، والتحرر مما يعيق تطورنا الفكري كبشر.

* **The paper was received on May 6, 2009 and accepted for publication on Oct. 15, 2009.**

End Notes:

1. The concept of the death of the author has been discussed in depth by Barthes in his infamous article "Death of the Author" (1968), in R. Barthes. ***Image/ Music/ Text***. Trans. S. Heath. London: Fontana, 1977. Passim. Similar ideas are also raised by Michael Foucault in his "What is an author?" Twentieth-Century Literary Theory. Ed. Vassilis Lambropoulos and David Neal Miller. Albany: State University Press of New York. 124-42. In this article, though Foucault accepts that the author is dead and the text is merely a game of language, he designates the author as a function of discourse itself.

2. For further details about the concept of the reader as appeared in the theories of Deconstruction, Semiotics, Phenomenology, Structuralism and Reception, see Robert Con Davis and Roland Schleifer. *Contemporary Literary Theory*. London: Longman, 1998. passim; and also see Terry Eagleton. *Literary Theory: An Introduction*. Minnepolis: University of Minnesota Press, 1983.The book includes an evaluation of several schools of literary theory, in addition to a separate section on deconstruction.

3. For further details about New Criticism, see K. M. Newton's *Twentieth Century Literary Theory*. London: Macmillan, 1988. 39-45; for more ideas about New Historicism, see Keith Green and Jill Lebihan. *Critical Theory and Practice*. London: Routledge, 1996. 111-16. For more details about Deconstruction, See Christopher Norris. *Deconstruction*. London: Routledge, 1982. passim.

4. For a detailed discussion of Iser's viewpoint about "the implied reader" and "the actual reader", see ***The Implied Reader***. Baltimore: Johns Hopkins University Press, 1977. pp. 44, 278-90.

5. The Marxist critical views towards literature can be considerably traced in Christopher Caudwell's "English poets: the Decline of Capitalism", George Lukâcs "Critical Realism and Socialist Realism", and Walter Benjamin's "The Author as Producer", while the formalist views can be clearly seen in Victor Shklovsky's "Art as Technique", Medvedev's "The object, Tasks, and Methods of Literary History" and Jan Mukarôvsky's "Aesthetic Function, Norm, and Values as Social Facts". For a detailed discussion of these articles, see K. M. Newton Ed. *Twentieth Century Literary Theory*. London: Macmillan, 1988. 21-39/ 85-98.

6. For further illustration of the views of reader-response critics concerning the meaning of a text, see "Reception Theory and Reader-Response Criticism" in K. M. Newton Ed. *Twentieth-Century Literary Theory*. London: Macmillan, 1988. pp. 219-35. For more details about the concept of New Criticism on "Text and Readers", see the same reference, pp. 39-53.

7. Gadamer's views about the process of reading and his major influence on Jauss can be traced in Gadamer's *Truth and Method*, op. cit, pp. 320-360.

8. Peter J. Rabinowitz discusses the same idea in his "Whirl Without End: Audience Oriented Criticism" in G. Douglas Atkins and Laura Morrow Ed. *Contemporary Literary Theory*. London: Macmillan, 1989. pp. 92-93.

9. For a detailed study of Iser's views about the concept of "the implied reader", see Iser's *The Act of Reading*. London: Routledge and Kegan Paul, 1978. pp. 25-31.

10. For a detailed discussion of these views see, Holland's *Reader's Reading*. New Haven: Yale University Press, 1975. passim.; and see Fish's *Is There a Text in this Class?: The Authority of Interpretative Communication*. Cambridge: Harvard University Press, 1980. passim. In the above work Holland gives a detailed account of how specific readers give different interpretations for Faulkner's "Rose for Emily" according to their individual predispositions; and Fish summarizes his major theory about the reader-text relationship.

11. For a detailed account of Iser's postulation in this concern, see *The Act of Reading*, pp. 20-45.

12. For further illustration of Roman Ingarden's concept about "texual schemata", See Ingarden's *The Cognition of the Literary Work of Art*. Trans. Ruth Ann Croncey and Kenneth Rolson. Evanston: Northwestern University Press, 1973. pp. 50-60.

13. Iser's model of **the implied reader** differs from other models in that it both embodies the presence of the real reader and successfully avoids the problem of the ideal reader. Iser's reader is a kind of a structure that stands for the activities of all readers in that it shifts the attention from the definition of the reader to the interaction between the text and the reader. On the other hand, the **"the ideal reader**" is a heuristic model invented by Culler. He is someone who has internalized the literary conventions in a way that enables him/her to read and interpret literature in a convincing way. Culler believes that the internalized grammar of literature is similar to linguistic competence in that speakers of a particular language bring to the act of communication an implicit knowledge of language that makes communication possible. Similarly, the mastery of literary conventions would enable the reader to perform acceptable reading and interpretation of literary works, for such conventions form the underlying structure of literature itself. As for the concepts about "the historical reader", "the super reader", or "the Zero-degree Narratee" of G. Prince, enough discussion has been made in this concern in the article itself.

14. For further details of this point, see Robert C. Holub's *Reception Theory: A Critical Introduction*. New York: Methuen, 1984. p. 84-6.

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The Arab Journal For Arts Vol. 7 No. 2, 2010, pp. 243-258

The Alchemy of literature: Orientalist Perspectives in Coelho's *The Alchemist*

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Abstract

Paulo Coelho's *The Alchemist* presumes to take on the challenging role of increasing man's knowledge of the world through the spiritual transformation of individual consciousness and discovery of the self, in as much the same way as 'alchemy' proposes to transform matter from one state to another. Though this book partly achieves this goal by teaching important lessons about the self, its message is very much undermined by the writer's inability to break free from old perceptions and stereotypes of non-western characters. In propagating this negative image of the Eastern world, Coelho's book becomes yet another work of literature that engenders the dichotomy of East versus West, and 'self' versus other that many Orientalists believe is responsible for the many sensitivities and misunderstandings between the two worlds. In applying Orientalist perspectives to Coelho's book, it becomes quite clear that his message of non-conformity and openness to the true language of the world become meaningless in light of his indiscriminate adherence to archetypical depictions of the East as the inferior 'other'.

More and more mankind will discover that we have to turn to poetry to interpret life for us, to console us, to sustain us. Without poetry, our science will appear incomplete; and most of what now passes with us for religion and philosophy will be replaced by poetry.[1]

Throughout the ages literature has had a great impact on the attitudes, beliefs and value system of people and cultures. As far back as Horace, poetry has been decreed to be both "dulce et utile," delightful and useful; its sweetness or pleasure coming from a variety of sources – from the pleasure of the senses to the relief of a cathartic purging of strong feelings.[2] More important than that is of course the serious function of instructing the reader. Wellek and Waren describe this instruction as one where language tends to influence "the attitudes of the reader, persuades him, and ultimately changes him."[3] *The Encyclopedia of Literature and Criticism* gives a comprehensive description of literature "as a

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cultural and moral force in the twentieth century, institutionalized as canons of books whose textual words were to be emulated, teaching humane and dignified values, a counter-balance to philistinism."[4]

One such text that attempts to enlighten the reader and to transform his attitudes and perceptions of the world is Paulo Coelho's *The Alchemist*. As its title implies, this novel proposes to act as a catalyst in the transformation of matter from one state to another. On a purely physical level, it seems to promise a conversion of base metals into gold, whereas on a spiritual level it seems to take on the more daring role of purification of the soul by "eliminating the' base' material of the self and achieving the gold of enlightenment."[5] As an ancient science, alchemy devotes itself to the pursuit of knowledge and "understanding of the self" that is similar to the noble role that literature has as a medium of knowledge and change.[6] In choosing a title such as "The Alchemist," Coelho thus takes on the challenging goal of attempting to increase man's knowledge of the world through the spiritual transformation of individual consciousness and discovery of the self, what I like to call 'the alchemy of literature.'

The methodology implied in this paper attempts to strip away conventional perspective and examines how a society is sometimes denied of its true ‘identity.’ The postcolonial reading seeks out that indigenous representation of the ‘self’ which results from a unique amalgamation of history, culture, language and tradition. Apart from this, the methodology also focuses on the ‘cultural hybridity’ that occurs after an attempt to explore the concept of national identity and to establish it firmly. As Anderson observes, a race or nation may have to go through a phase of “dispute and debate regardless of the actual inequality and exploitation that may prevail.”[7] This is exactly what’s taking place when once again the ‘West’ sets forth to misunderstand and misrepresent the ‘Orient’ in *The Alchemist.*

Hence, although this book seems to have touched millions of lives and established itself as a modern classic, the important lessons that it tries to teach man about self-discovery, happiness and fulfillment are very much undermined by Coelho's inability to break free from old perceptions and stereotypes in his depiction of non-western characters. As such, these stereotypes reinforce the negative implications associated with non-western cultures and instead of opening up new vistas and channels of communication between cultures, as literature should do, it further increases the chasm between the Eastern and Western worlds. Coelho's message of non-conformity and openness to the true language of the world becomes meaningless in light of his inability to break free from stereotypical depictions of the East as the inferior 'other'.

Coelho fails in his attempt to use literature to bring barriers down and inadvertently propagates the dichotomy of East versus West, and 'self' versus 'other' that Edward Said says is accountable for the continued sensitivities between these two cultures.[8] Coelho's story thus adds to the already large body of Orientalist literature that continues to denigrate and dehumanize the East for the purpose of having an effective control over it. Said says that by "setting itself against the Orient as a sort of surrogate and even underground self," the West believed that it "gained in strength and identity."[9]

As a text that is not limited to a book, but is an act that "follows certain distinct and intellectually knowable lines," Coelho's story is inevitably rooted in what Said describes as old concepts and stereotypes of the East manifested in other works of literature.[10] Edward Said's contention that "Every writer on the Orient assumes some Oriental precedent, some previous knowledge of the Orient, to which he refers and on which he relies" applies to Coelho's relationship with Jorge Louis Borges.[11] Coelho's intrigue and admiration for this famous Argentinean writer comes out clearly in an interview published in the weekly *Ahram* in 2005, where he admits that he owes "a lot to three writers who changed my own life: Borges, the British poet William Blake and Henry Miller, who gave me the initial stimulus to write." It then turns out to be no coincidence that the plot line of Coelho's story is very much similar to a short story written by Borges called "A Tale of Two Dreamers" published in his Anthology *A Universal History of Infamy* in 1933. With Borges as Coelho's mentor, it becomes quite clear where Coelho's Orientalist attitudes came from. In a similar fashion, we find that Borges himself was greatly affected by his own translations of Burton's version of *The Arabian Nights*. Edna Aizenberg says that Borges "advocates the Orient at a distance, filtered through the European translations of Lane and Burton, Waley and Kuhn, with inevitable elements of Orientalism."[12] Burton, more than any other translator of these tales, tended to depict the Orient as a sensual, immoral, backward place suffering from despotism and inaccuracy. It is then no longer a mystery where Borges, and eventually Coelho acquired their distorted picture of the East. Borges' story "A Tale of Two Dreamers" actually retells the story of "The Ruined Man Who Became Rich Again Through A Dream" that is found in Burton's translation of *The Arabian Nights*. It recounts the story of a man whose fortune changes for the better after following a dream he had in his sleep which tells him to travel to a foreign land to find his treasure. After reaching his destination, he is then told that his treasure is to be found back home.

The similarity in the plot line of the three stories – "The Ruined Man Who Became Rich Again Through A Dream," "A Tale of Two Dreamers" and *The*

Alchemist is no coincidence. However, the similarity in the plot line is only one of many facts that will prove Coelho's undeniable conformity to negative stereotypical images of the East.

Edward Said says that

the large cultural – national designation of European culture as the privileged norm carried with it a formidable batter of other distinctions between ours and theirs, between proper and improper, European and non-European, higher and lower: they are to be found everywhere in such subjects and quasi-subjects as linguistics... philosophy... [13]

Looking at Santiago's dream, we find it is that of a white man from a western country traveling to the Orient in order to conquer and exploit its resources. The fact that Santiago is to find his treasure in the East, not the West, has clear colonialist implications. Like his forefathers before him, Santiago overcomes the obstacles along his way and claims his treasure in the East because of his superior mental capabilities and what Coelho calls his 'openness' to the Universe. Partha Chatterjee in *Nationalist Thought and the Colonial World* says that the West colonized the East because it believed that its culture "possesses attributes which make the European culture equipped for power and progress, while such attributes are lacking in traditional cultures of the East."[14]

Despite the fact that Coelho goes to great measures to show how receptive Santiago is to the Eastern world and its culture, from the moment Santiago has his dream, we are bombarded with negative images of the Oriental as the different "backward" other.[15] As a 'strange' and mysterious being, this Oriental is shown to have many odd rituals and habits that are often times associated with superstition and the supernatural. The first Oriental that he encounters in the story is the old Arab man wearing "strange" clothing and possessing supernatural powers.[16] Calling himself "The King of Salem," this old man introduces us to the superstitious and often deceptive world associated with the Arab tradition of 'alchemy' or 'a-lchimia' that dates back to the Arab alchemist Jabir Ibn Hayyan in the 8th century. Though alchemy with time became a well-respected branch of science, it has never really shaken off its earlier association with the voodoo science that deals with the mysterious, dark and occult world of the supernatural. The old man's ability to list specific names related to Santiago and his possession of the two precious stones, "Urim" and "Thummim" that have magical powers leave no doubt as to the old man's association with this dark science.[17]

As soon as Santiago reaches Tangiers, he also feels alienated from this different 'strange' world. Recalling an image of Saint Santiago Matamoros on his

white horse that he often looked at at church as a child, he associates these dark 'others' with the barbaric figures lying at Saint Santiago's feet.[18] Santiago's immediate association of the Tangiereans with these violent dark figures inevitably points to Western man's stereotypical biases against dark skinned people. With these black figures in mind, Santiago pronounces the Tangiereans as "infidels" having "an evil look about them."[19] Edward Said says:

The entire history of the 19th century European thought is filled with such discrimination as these, made between what is fitting for us and what is fitting for them, the former designated as inside, in place, common, belonging, in a word above, the latter, who are designated as outside, excluded, aberrant, inferior, in a word below.[20]

As Santiago has never been to Africa, it is quite clear that his biased image of the East is not based on any real experience, but is a by-product of his cultural heritage. Like many other westerners, he has brought the myth of Western superiority over the non-western, without any effort on his part to distinguish facts from fiction. Therefore, when he embarks on the journey, his decisions and actions are not his own, but he is greatly influenced by the preconditioned thoughts and ideas imposed on him by the outlook of his society. The great impact that a culture and its value system have on an individual's sense of right and wrong, good or bad, is represented in Santiago's constant carrying around of books. His avid interest in reading seems to have had its share in re-instating his distorted system of values that have created this warped picture of the East.

Full of fear and expecting the worst, Santiago's negative attitude seems to precipitate the crime of theft that leaves him with no money or source of income. Feeling all the more alienated from these strange people, he sees himself as becoming "bitter and distrustful" because of this one bad incident.[21] Recalling the old man's words that "when you want something, all the universe conspires in helping you achieve it," Santiago decides to adopt a more positive attitude towards himself and others.[22] He now believes that instead of thinking himself as "the poor victim of a thief" and thinking of these Tangiereans as enemies, he would be much better off seeing himself as "an adventurer in quest of his treasure." With this new positive attitude, Santiago starts to think of Tangiers as a "new" place rather than as a "strange" one.[23]

Though Santiago seems to have learned the lesson that positive thoughts bring about positive action, he still carries around with him the imperialist thoughts of supremacy over the Orient. His sense of exhilaration that "Tangiers was no longer a strange city," totally revolves around his feeling that "he had conquered the place."[24] Feeling in control of his life and his surroundings,

Santiago starts to pursue his dreams with a sense of a legitimate right to 'conquer' this uncivilized world. Santiago's attitude turns out to be no different than colonial powers in the past who believed that "Oriental Peoples needed saving from themselves" and therefore imperial nations have not only the right but obligation to rule those lost in barbarism.[25] As Europe had colonized the East out of a sense of its own "superiority" in "comparison with all the non-European peoples and cultures," so does Coelho show Santiago to conquer this country out of a sense of his own pre-eminence.[26] With a new resolve to realize his destiny, Santiago decides to work at a crystal shop in order to make enough money and continue his journey to Egypt. Like all the other characters from the East, the crystal merchant is presented in an unfavorable light in comparison to Santiago. He is described as being rigid in his ways and "unable to deal with change."[27] Ian Almond says that "Solemnity, inflexibility and absolute self-belief " are some of the many negative qualities that the Oriental is accused of having which often stands in the way of his progress.[28] The crystal merchant says: "I don't want to change anything, because I don't know how to deal with change. I'm used to the way I am."[29] The crystal merchant has gotten so used to his old, slow life that change, even that which brings a better fortune, seems unfamiliar and beyond the reach of his capabilities. The crystal merchant even confesses that he has delayed going to the pilgrimage to Mecca, an old dream of his, because he is afraid that once he realizes this dream, his life will no longer have purpose. This fear of the unknown and absence of courage to explore the possibilities are familiar images of the Orient as "a timeless place, changeless and static, cut off from the progress of Western history."[30] In contrast, Santiago's adventurous spirit, his active, courageous and strong attitude towards life, embellish him with masculine, almost hero-like, qualities that are deemed to be an inherent part of European culture and civilization. Santiago is shown to actually be a savior to the crystal merchant from his old, degenerate and perhaps 'uncivilized' ways that have been keeping him from achieving any progress or advancement in life.

Satisfied with his accomplishments in Tangiers or let us say 'conquests,' Santiago sets off on his journey to Egypt. Here, again, the Orientals are described in less than complimentary words, with adjectives like "fat," "hooded" and "black garments" to describe a lazy and perhaps dangerous race.[31] Unable to take the journey alone, Santiago decides to join a group of travelers on their way to Egypt. The Arabs leading this expedition are shown to be violent, bloody people with little or no refinement. As they embark on their journey, the leader of the caravans uses harsh words to alert the passengers to the dangers of the desert and from disobeying his orders. He tells them: "I hold the power of life

and death for every person I take with me" and then, a little later, adds "In the desert, disobedience means death."[32] Having established his right of rule over his passengers, the leader of the caravans does not try in any way to win them over or to make them feel comfortable as they embark on this journey.

The symbols that are associated with these Arabs, such as the desert, are also loaded with negative connotations. Describing the desert as “a capricious lady," which sometimes drives men crazy, the Orient is feminized and made thus to appear weak, erratic and mysterious and at times tempting in an "immoral" and "degenerate way."[33] The Orient "with its sensuality, its tendency to despotism, its aberrant mentality, its habit of inaccuracy, its backwardness" seems to personify itself in this mysterious and often treacherous desert that has captivated Santiago's heart and soul.[34] Finding himself hopelessly mesmerized by it, his actions take on an erratic and eccentric nature.

Santiago, with his store of knowledge acquired from books and the openness to learning more about the universe, stands in sharp contrast with these Orientals. He seems to fair well in this new harsh environment because of his ability to immerse himself "into the universal current of life" where he says "the histories of all people are connected.[35] Paying attention to the omens that the desert was offering to him in the form of direct signs from nature, whether it be from the stars, wind or animals, he feels proud of himself for his ability to speak the language of the universe. At one point, the narrator says: "He was excited at his intuitive understanding of the camel driver's comment: maybe he was also learning the universal language that deals with the past and the present of all people."[36] In contrast, the Englishman whom Santiago befriends on this journey is shown to be deficient in this language because of his lack of awareness and his disinterestedness in what the naturalness of the desert or life has to offer him. The narrator comments that "it was only the Englishman who was unaware of all this; he was, for the most part, immersed in reading his books."[37]Using the Englishman as a foil to Santiago, Coelho shows how the language of the universe can complement a person's book knowledge and reveal to him secrets that can enhance his life experiences. Ironically, when Santiago fails to understand the book the Englishman gave him, the Englishman pronounces him to be "too primitive to understand those things, "a statement which shows the Englishman's lack of respect of Oriental cultures that have deep spiritual connections with the metaphysical world.[38]

As a well read Westerner whose 'superior' powers and abilities enable him to learn the language of the universe, Santiago becomes the 'ideal' picture of the progressive "dynamic, innovative and expanding culture" of the Western man.[39]

As such, Santiago is able to conquer the desert, reading its signs, talking its universal language and even captivating its women. Santiago's relationship with Fatima, the Arab woman, reminds us of those fairy tale stories, like *The Arabian Nights*, where the woman is swept off her feet and falls in love in a matter of seconds. Again, this depiction of the scenario by Coelho has strong colonialist implications. The woman, an Arab, is conquered by Santiago, a Westerner, who believes that his arrival is nothing short of a blessing to her. When asked her name, Fatima answers by saying: "It's the name of the Prophet's daughter... The invaders carried the name everywhere."[40] The pride that Fatima expresses as she speaks of these invaders also extends to Santiago, who from now on seems to pervade Fatima's life and captivate her every thought, wish and action. She tells Santiago: "I have been waiting for you here at this oasis for a long time. I have forgotten about my past, about my traditions, and the way in which men of the desert expect women to behave."[41] Like other colonized people, Fatima becomes so involved in her situation that she loses touch with the traditions of her culture and starts to take on the colonizers' way of life which, for her, is synonymous with Santiago's lifestyle. For instance, she meets him on her own and converses with him despite the fact that the traditions of her culture prohibit women talking to strangers. When Fatima tells Santiago: "Ever since I was a child, I have dreamed that the desert would bring me a wonderful present. Now, my present has arrived, and it's you" reemphasizes the colonialist attitudes in the story.[42] It seems that Santiago arrives on the horizon as a hero and saves Fatima from her otherwise uneventful life in the desert.

As Santiago conquers Fatima, he is also able to master the language of the desert. Walking one day in the oases, he notices a hawk attacking another hawk. "As it did so," the narrator says, "a sudden, fleeting image came to the boy: an army with its swords at the ready, riding into the oasis."[43] Believing that what he saw was an omen, Santiago tries to warn the chieftains of the impending danger. The question that the chieftains pose to Santiago: "why would the desert reveal such things to a stranger, when it knows that we have been here for generations?" sums up Coelho's unexplainable faith in Santiago's new found powers. Santiago's answer that "because my eyes are not yet accustomed to the desert. I can see things that eyes habituated to the desert might not see" is only another exaggeration by Coelho of Western man's capabilities.[44] It seems that in a few days Santiago has been able to become better than the seers and alchemists who have been learning the language of the desert all their lives. Having said this, Santiago can no longer be described as an average boy but more of a 'hero' who is to save the Orient from the evil growing within its home land. The colonialist attitude that the Orient with its "violence" and "untrustworthiness" needs to be "civilized" and "saved" takes precedence over any other positive

image of the East that occasionally emerges within the stories plot line.[45] Santiago's last and final comparison occurs when he is equated with the Arab alchemist, who is greatly revered and respected by all clansmen because of his supernatural abilities, including the ability to turn metal into gold. However, not even this great man can compare with Santiago, who proves his superiority by turning himself into the wind, something which no Oriental has been able to do. When Santiago thanks the alchemist for the help he has given him, the alchemist's reply is: "I only invoked what you already knew," revealing Coelho's colonialist attitude that no matter how much this alchemist knew of the language of the world, Santiago, the Westerner, was better off because of his superior knowledge.[46] Furthermore, the fact that the alchemist believes that he had only been a means in bringing out what was already there in Santiago reflects the idea that Edward Said says is to be found in Gramsci's theories. Said says that "cultural hegemony," that is the domination and mastery of the East by the West through cultural paradigms and teachings, has made the Oriental accept his backwardness in relation to European "superiority" not through force but by submissive "consent".[47] Having been conditioned to accept European superiority over Oriental backwardness, the Oriental feels inadequate and always at a disadvantage whenever he finds himself being compared to the European. Confused as to his place in the universe, the Oriental unequivocally denies himself any sense of pride in his accomplishments or successes which, inadvertently, make him an easy prey to any and all who want to exploit him. The Arab alchemist's comment, then, that he had "only invoked" what Santiago already knew confirms Coelho's awareness and acceptance of this 'cultural hegemony'.

Santiago's most important conquest is to come in the form of a treasure that he is to find at the pyramids in Egypt. Before going to the pyramids, however, Santiago gets to learn about the great powers of the Emerald Tablet, also called the Philosopher's Stone or Elixir of life. He becomes amongst the lucky few who are able to acquire its secrets and to use its powers to purify their soul and become one with the world. He also acquires the impossible feat of turning actual metal into gold. Empowered with these unique gifts, Santiago feels that he has been blessed and that he could live a happy life without finding the treasure that he had been promised. Recalling all the people that he had come across in the desert and the lessons that he had learned, Santiago realizes that if he went back before reaching the pyramids, he would have stopped "in the midst of realizing" his destiny, a matter which he had long been warned against. The Arab alchemist had once told him that

before a dream is realized, the Soul of the World tests everything that was learned along the way. It does this not because it is evil, but so that we can, in

addition to realizing our dreams, master the lessons we've learned as we've moved toward that dream. That's the point at which most people give up. It's the point at which, as we say in the language of the desert, one 'dies of thirst just when the palm trees have appeared on the horizon.[48]

Reminding himself that he had only a little more left in achieving his destiny, Santiago heads to the pyramids and starts to dig for his treasure. In addition to his disillusionment at finding nothing, he is also robbed by a band of thieves who beat him in search of fortune. Once convinced that he had nothing more to give them than the piece of gold he had inside his bag, they decide to leave him beaten and bereft of any means of livelihood. As they depart, however, one man decides to impart on him these words of wisdom:

Two years ago, right here on this spot, I had a recurrent dream, too. I dreamed that I should travel to the fields of Spain and look for a ruined church where shepherds and their sheep slept. In my dream, there was a sycamore growing out of the ruins of the sacristy, and I was told that, if I dug at the roots of the sycamore, I would find a hidden treasure. But I'm not so stupid as to cross an entire desert just because of a recurrent dream.[49]

Though Santiago hasn't been able to find any treasure and he has also been battered and robbed, he suddenly experiences a sense of elation as he realizes that he has finally been able to reach his final destination and overcome his last challenge. Smiling, "his heart bursting with joy," he now realizes where his true treasure is and is finally ready to head back home.[50] As his "project" has now been completed and his enlightenment of the soul, the 'holy grail' of Western alchemy, achieved, Santiago leaves feeling like the true 'conqueror' who was not afraid to travel to this scary and strange world of the 'other.' Having exploited its resources and learnt all that he needed to learn of its secrets, he is able to leave in full glory, with great bounties at his disposal, whether material, in the form of the Arab woman, or ecclesiastical in the form of illumination of the soul.

Coelho's *The Alchemist* has had great success because it endeavors to teach important lessons and secrets about life, love and the universe. Ironically, by nature of it success it has helped in propagating negative images about the Orient which have fed and encouraged "hegemony" of the West over the East.[51] The book's lessons about receptivity to the world and to its universal language are thus undermined when this 'openness' turns out to be an acceptance of the 'other' not as an equal, but as a 'mutilated' version of the white male, a fixation on other races as being not different but lesser than the white race. Edward Said defines this unequal relationship with the 'other' as "positional superiority," one where the Westerner involves himself into many relationships with "the Orient without

ever losing him the relative upper hand."[52] Throughout the story we see how Santiago was able to build good relationships with non Westerners, but always on his own terms based on his own sense of superiority over them! Whether it be the crystal merchant, the alchemist or the chieftains, Santiago thrived on his sense of 'positional superiority' over them. They all were a means to reach his ends. As Edward Said says, the Orient and Orientals are allowed to have "shape, identity, definition" only in relation to their "importance to imperial strategy" and to their "natural role as an appendage to Europe."[53]

In conclusion, as a work of literature that is supposed to change lives and bring transformations through the 'alchemy of literature,' this book by its own dichotomies has failed to clear any misconceptions related to the Orient. In fact, in continuing to perpetuate stereotypes it has tarnished its own alchemical process of regeneration and kept the chasm between East and West wide open. Santiago's observation that: "It's true that everything has its destiny, but one day that destiny will be realized. So each thing has to transform itself into something better, and to acquire a new destiny, until some day, the Soul of the World becomes one thing only" becomes his own and Western man's imperialist dream for the future. Western man's prejudiced view of the world as revolving around him, working to bring about his needs and desires makes him oblivious to any injustices he might perform along the way. This condition of total self involvement or "Eurocentricism" makes him able to take from others but actually unable to give anything in return.[54] Thus, Santiago's dream of "the soul of the World [becoming] one thing only," is actually the Western man's colonialist wish to have all of mankind abide by its 'Universal' rules and teachings.

Frantz Fanon in *The Wretched of the Earth* describes this condition essentially as "a denial of all culture, history and value outside the colonizer's frame." He says that as "a systematic negation of the other person, it places focus on the colonizer's needs, wants and desires, leaving nothing left for this non-existent other."[55] Coelho's story encourages this same ideology in that he purposefully uses the negative images of the Orient in order to bring forth his message. He could have chosen to unfold his story in the Western world, but his deliberate choice of the Orient shows his premeditated intent to abuse its weaknesses and stereotypes for the purpose of enhancing his plot line. Like Goethe, Byron, Emerson, Joyce and Borges before him, Coelho uses images of the East to enliven his works and add a mysterious and supernatural aura to his story. However, like many Orientalists before him, Coelho's bias and his indifference to the 'other' undermines the effectiveness of his message and his words become a hollow echo in a world that is in desperate need of truth, meaning and hope.

When Coelho in his interview in the *Ahram* newspaper is asked if the purpose of writing his story was to look for answers, he responds by saying: "My works pose more questions than answers." With this in mind, let us hope that this story will become a catalyst for opening up new dialogues about the importance of objective judgment free of any and all outdated modes of thought. Michael Foucault once said that "To unlearn is one of the important tasks of self-cultivation."[56] Let us hope that self-cultivation or what Coelho calls 'alchemy' becomes an occasion for the unlearning of "the inherent dominative mode" and a re-learning of the value of independent objective analysis of non-Western cultures and its people.

Thus having illustrated the paucity in the attempt of Coelho's *The Alchemist* to render a clear formulation of a positive attitude towards the Orient, it is important to understand that we still need a genuine display of an unbiased representation of the true identity of the East by the writers of the West. There is still an imminent need for the Western writers to consider presenting a quintessential image of the Orient to illustrate the insurmountable difficulties inherent in creating a national identity amongst largely heterogeneous postcolonial societies like those in the East.

الكتابة ألاستشراقيه كما تظهر في رواية (الكيميائي)

مشاعل السديري، قسم اللغة الإنجليزية، جامعة الرياض، الرياض، السعودية.

ملخص

في روايته (الكيميائي) يرى كويلهو إمكانية تحقيق المزيد من الكشف عن أسرار العالم من حولنا بالتعمق في سبر أغرار النفس البشرية بواسطة التفاعل الروحي المستوحى من التفاعل المادي الكيميائي. إلا أن الكاتب لم يستطع الانعتاق من المفاهيم والأنماط السائدة للشخصيات الشرقية مما اضعف ما ترمي إليه هذه الرواية. كما أن تعزيز ألصوره ألنمطيه السلبية للعالم الشرقي جعلت رواية كويلهو من الروايات التي تبرز الفرق بين العالم الشرقي والغربي وألانا والآخر والتي يرى بعض المستشرقين مسؤوليتها عن التحسس وعدم التفهم بين الحضارتين. وبتطبيق معايير المستشرقين ومقارنة ما يرمي إليه كويلهو من الإنصات إلى لغة الكون والتحرر من المفاهيم القديمة إلى جانب عدم قدرته على التخلص من ألفكره الشائعة التي تصف الشرق بالعالم الآخر المتخلف، فان ذلك التناقض بين التنظير والتطبيق يعد من أبرز المثالب في هذه الرواية.

* **The paper was received on March 2, 2008 and accepted for publication on Sep. 1, 2009.**

Notes

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3 Rene Wellek and Warren Austin, *Theory of Literature* (Harmondsworth: Penguin, 1948), 23.

4 Martin Coyle, Peter Garside, Malcolm Kelsall and John Pecks, eds., *Encyclopedia of Literary Criticism* (London: Routledge, 1990), 19.

5 *Crystalinks,* http://www.crystalinks.com/alchemy.htm.

6 Jonathan Hughes, "Base matter into Gold: Jonathan Hughes Discovers the Humanity of Thomas Charnock, a Forgotten Elizabethan Alchemist in Search of the Philosopher's Stone," *History Today*

7 Benedict Anderson, Imagined Communities: Reflections on the Origin and Spread of Nationalism (London: Verso, 1983), 7.

8 Edward Said, *Orientalism* (N. Y: Vintage Books, 1979), 7.

9 Ibid, 3.

10 Ibid, 13.

11 Ibid, 20.

12 Edna Aizenberg, "Borges, Postcolonial Precursors," *The World Literature Today* 66.1(1992):21-26.

13 Edward Said, *The World, the Text and the Critic* (London: Faber and Faber, 1986), 14.

14 Partha Chatterjee, *Nationalist Thought and the Colonial World* (N. Y: Zed, 1986), 50.

15 John Mcleod, *Beginning Postcolonialism* (Manchester, Manchester U. P, 2000), 44.

16 Paulo Coelho, *The Alchemist* (London: Harper Collins P, 1992), 19.

17 Ibid, 43.

18 Ibid, 35-6.

19 Ibid, 36.

20 Edward Said, *The World, The Text and The Critic* (London: Harper Collins P, 1992), 19.

21 Paulo Coelho, *The Alchemist* (London: Harper Collins P, 1992), 41.

22 Ibid, 42.

23 Ibid, 44.

24 Ibid, 64.

25 John Mcleod, *Beginning Postcolonialism* (Manchester: Manchester U.P, 2000), 46.

26 Edward Said, *Orientalism* (N.Y: Vintage Books, 1979), 7.

27 Paulo Coelho, *The Alchemist (London: Harper Collins P, 1992), 59.*

28 Ian Almond, "Borges the Post-Orientalist: Images of Islam from the Edge of the West," *Modern Fiction Studies* 50.2(2004):19.

29 Paulo Coelho, *The Alchemist (London: Harper P, 1992), 59.*

30 John Mcleod, *Beginning Postcolonialism* (Manchester: Manchester U. P, 2000), 46.

31 Paulo Coelho, *The Alchemist* (London: Harper Collins P, 1992), 73 &80.

32 Ibid, 74.

33 Ibid, 74; John Mcleod, *Beginning Postcolonialism* (Manchester: Manchester U. P, 2000), 46.

34 Keith Winschuttle, "Orientalism Revisited," *The New Criterion* 111.5(1999), http://www.newcriterion.com/archive

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36 Ibid, 77.

37 Ibid, 78.

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39 Keith Windschuttle, Orientalism Revisited," *The New Criterion* 111.5(1999), http://www.newcriterion.com/archive.

40 Paulo Coelho, *The Alchemist* (London: Harper Collins P, 1992), 98.

41 Ibid, 101.

42 Ibid, 102.

43 Ibid, 105.

44 Ibid, 111.

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48 Paulo Coelho, *The Alchemist* (London: Harper Collins P, 1992), 139.

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50 Ibid, 172.

51 Edward Said, *Orientalism* (N.Y: Vintage Books, 1979), 7.

52 Ibid, 7.

53 Ibid, 86.

54 Edward Said, *Culture and Imperialism (N. Y: Vintage Books*, 1994), 200.

55 Frantz Fanon, *The Wretched of the Earth*, trans. Constance Farrington (London: Penguin, 1967), 200.

56 Michael Focault, *Ethics: Subjectivity and Truth*, trans. Rubert Hurley (N. Y: The New Press, 1997), 97.

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Esoteric and Artistic Power vs. Political Power in Shakespeare's *The Tempest*

Sabbar Sultan* and **Samira al-Khawaldeh****

Abstract

The present paper attempts to view Shakespeare's *The Tempest* as comprising two equally strong forces contesting for supremacy in the protagonist's mind: temporal power and art and magic**.** It begins with a brief synopsis of the various or rather incompatible implications emanating from this memorable play. The second section is the main corpus of the argument where the manifestations of the world of art and magic are presented. The final section is a conclusion stressing and explicating the political-artistic duality. .

Key words: politics, art, imagination, temporal.

A. The Tempest and the Critical Controversy

Shakespeare's *The Tempest* (1610) is by the consensus of the majority of scholars and critics of Shakespeare's canon his last play. It is his swan's song to the theatrical world and its dazzling lights. Essentially, it is not different from his other plays in being problematic and multileveled. Hence its apt title since the intellectual 'tempest' it has caused would not abate in the foreseeable future. Even the very title of the play has something to do with these two levels, namely, the esoteric and political, emanating simultaneously from the text. The" Tempest" in the play is virtually,' concordant with magic, the world of Ariel. However, it is discordant with the world of Antonio, of real politics" (Hattaway, 119). As a matter of fact, Shakespeare, here, dovetails the worldly with the lasting and artistic inextricably. In this play, one comes across many topics which are of prime significance for the practitioners of modern literary theory such as the nature of art and its irresistible temptation, the nature of imagination, fancy and above all the verbal fascination. It is actually a linguistic bravura by a writer who knows that these are his last words to his audience. However, this is not all. The underlying theme of the play is his recurrent topic of political usurpation and the primordial attempt of fratricide. Antonio has ousted his own brother, Prospero, and replaced him as the duke of Milan. Worse still, Antonio

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does his best to kill Prospero and his daughter, Miranda, by forcing them to sail in a boat that has no facilities for survival; a conspiracy accomplished with the aid of Prospero's worst enemy, the king of Naples. Needless to say, this usurpation of political power has been the core of Shakespeare's tragedy, *Hamlet*, and the point of fulcrum of its action. Curiously enough, Prospero's position in the play is that of the imperialist, himself a usurper of the island which was originally Sycorax's.Therefore, the oscillation between the artistic and magical to the temporal is smooth and logical, given the play's own terms. As such, one notices a striking split among critics and scholars concerning the appreciation and assessment of the play and its signification. Some stress the artistic and theatrical, while others emphasize the political and even colonial aspect which lends itself to such readings. Therefore the rest of this paper will be a view of these diverse judgments and evaluations of the text and its overt or explicit views of the temporal and magical. It is because of this dominant political side of the play that scholars have laid much emphasis on the conspiracies and stratagems to gain power by all possible means. As such, it has been viewed as "amoral fantasia [that] had its deep roots in the English society" (Soliman, xii). This is not a mere guesswork supported by some extra-textual situations. Any close reading of the hectic years separating the play's publication and the outbreak of the civil war in England (1642) shows that the frantic pursuit of power, struggle and counter-struggle is a key issue and worth-mentioning. Frank Kermode identifies this 'political' side as engaging the forefront in the play's interests, in addition to the "autobiographical and religious" (Kermode, xxiv). The autobiographical side in Kermode's argument stems from the inescapable comparison held between the supreme master of that enchanted island (Prospero) and the matchless magician of the verbal art of the British island (Shakespeare).The religious and primordial level of the play already mentioned concerning the brother's attempt to kill his own brother and niece informs the action of the whole play, although there is nothing tragic about it. The protagonist has the moral integrity and stamina to transcend above his injuries and pardon his wrongdoers, including Caliban. This subhuman native of the island has his share of tolerance even though he has sought to rape Prospero's daughter. However, Prospero is not ready to abandon his political right as the legitimate duke of Milan. It is hoped that the present argument would not give the false impression that Prospero is the incarnation of good, if we recall his different attitudes towards his subjects: Ariel and Caliban. Many critics find in Prospero a different image. Aime Cesaire, for instance, finds in Prospero something else, different from the common view that he pardons his foes and embodies the Christian view of forgiveness. From his perspective he appears as "the man of cold reason, the man of methodical conquest—in other words, a portrait of the enlightened European" (qtd. in Baxandal, 172). Kermode's former

argument about the similarity, if not identification, between the writer and his dramatic persona is often taken with a pinch of salt. In this regard, argues L.Schucking that,

> it is an amazing piece of irony that critics seek to discover the greatest humorist in that creation of his genius which is the least gifted with a sense of humor. (163)

If we leave aside these possible affinities in *The Tempest* between the creator and his character or their absence, we find other equally controversial topics such as the acculturation as seen in the marriage of Alonso's daughter (Claribel) and the King of Tunis. In other words, the play suggests that the British island is no longer a self-enclosed entity but it has begun to open up to other cultures and races. The play does talk about the cross-fertilization between cultures.

The other topic tackled here is the Platonic and ontological question pertaining to man's existence in this world. In one of the renowned speeches given by Prospero, Shakespeare elaborates on the issue of the apocalypse. He also stresses the ephemeral side of the human experience; a very serious issue cloaked by that exceptional poetic discourse that forces even his rival, Ben Jonson, to classify him as "the untutored genius of prodigious imagination" (Palmer, 17). Due to its significance and its thematic relevance to the purposes of the current study, there is a need to quote it in some detail,

Our revels are ended. These our actors,

As I foretold you, were all spirits, and

Are melted into air, into thin air:

And, like the baseless fabric of this vision,

The cloud-clap'd towers, the gorgeous palaces,

The solemn temples, the great globe itself,

Yea, all which it inherit, shall dissolve,

And, like this insubstantial pageant faded,

Leave not a rack behind. (IV.i.147-56)

As far as art, imagination and authorship are concerned, the play has been viewed as a sort of "a myth of immortality" (Campbell & Quinn, 858). It is indeed a feat of artistic achievement that Shakespeare can transform this originally German tale (*Die Schone Siden*) into a text capable of portraying his own personal visions and local habitat. If the play, as already suggested, is his farewell to the world of the theatre and art, it is posterior to view it as a last-minute evaluation of this lifelong activity, both in its merits and demerits.

Prospero's position and practices in that island and "the tempest" he deliberately brings about - all these are evidence of the correspondence between the author and his character irrespective of what other critics may conclude or infer. One has to recall the fact that Prospero himself is "a dramaturge, like Shakespeare himself, and his project amounts to a justification of a playwright's art, with the "island' serving as his theater" (Battenhouse, 251).

In general, *The Tempest* is a celebration of the supernatural where logic is suspended and only imagination is given full rein. Indeed it is the only power that is given its due emphasis, while the political power remains only on the periphery. The centre then is art and politics is on the margin although the two are interrelated. The whole play in its situations, events, and its very discourse keeps revolving around the different dimensions of such artistic and esoteric topics. In Shakespeare's case, this is not very surprising given the fact that many of his sonnets have already raised such an issue, albeit less emphatically. Even his great tragedy, *Macbeth*, chooses the topic of acting and theatre in the final speech given by the hero as he gropes his way to death. All these elements will be shown in the following section in the attempt to indicate that the disparaging account of the play and its writer as visualized by a critic of Henry James's caliber is not always sound and fair, "The story is a thing of naught, for any story will provide a remote island, shipwreck and a coincidence" (qtd. in Tanner, cxxix). The adventure itself is not that important. What is of primary interest is the unprecedented emphasis laid on the nature of the artistic enterprise, the temptations it offers as well as its countless costs. The play is, among other things, Shakespeare's own verdict on his craft and the countless sacrifices he has made for its sake.

As a play capitalizing very much on the imagination and collaboration of the audience, there is much space left for the spectators to view the play from more than one angle. If there is a common denominator these events, situations and relations share, it is the extraordinary and the fascinating power of art and magic. This power invites or rather forces us to keep all rationalization and common sense at bay. One point, however, has to be borne in mind: it is the fact that *The Tempest* draws upon the improbable, uncanny and fanciful. It is advisable here for the fruitful reading of the play and its uncommon worlds to recall Coleridge's famous dictum of the willful suspension of disbelief. Prospero and his daughter have been saved by chance. His full mastery of magic arts is so accomplished that all other creatures and spirits on that island surrender to his powerful will and show their readiness to undertake any task for his own purposes. For instance, Caliban, one of the indigenous beings, is the outcome of a union between an incubus and a sorceress (Sycorax). Ferdinand's passion for Miranda develops in no time. She herself can only cry ecstatically,

O, wonder!
How many goodly creatures are there here!
How beauteous mankind is! O brave new world,
That has such people in't! (V.i.181-4)

The conspirators (Antonio, Alonso and Stephano) are morally punished and put to shame by Ariel, Prospero's loyal agent in his famous 'harpy' banquet. Indeed this memorable scene is highly comic and serious and shows the overwhelming power of art par excellence. In sum, *The Tempest* is a play that encompasses all that is exotic and impossible. Given all these, it is not surprising to find that the island has been described as "a place for transformation, reconciliation, education, regeneration and repentance" (Beck, 1). Northrop Frye epitomizes this salient aspect of the play in his laconic statement that *The Tempest* "shows the illusion of reality and the reality of illusion" (qtd. in Sandler, 182). This unusual overlap between two polar opposites is a key point in this play that lends itself entirely to the world of art and magic as the only counterpart to that of politics.

B. The Main Argument

Out of this uncommon doubling of illusion and reality, the sublime and the mundane, the spiritual and the physical, suggested in the pages above, one can approach the main issue of this paper: types of power as manifested in this play and the rationale behind that. The practical premise for the feasible reading of this play and its unusual or even bizarre atmosphere is the reliance on the triple categorization of its people and their interests. There are those who argue rightly that the universe is divided "into three worlds: the elemental world of terrestrial nature; the celestial world of the stars; the super-celestial world of the spirits" (Yates, 94). In fact these worlds co-habit *The Tempest* and commingle to give the text its distinct flavor. The beings in the island are of three types: the subhuman or semi beast (Caliban), human beings (Prospero and Miranda), and spirits (Ariel). What is characteristic here is that the power is practiced by the middle ground beings that, by tremendous and fastidious efforts, overcome their inborn weaknesses and eventually force all others to succumb to their own wills. The authority, then, is something acquired by deliberate enterprise and human effort. If this is so, one can say that the structure of the play displays the three stages of power. At the beginning the audience realizes through a series of flashbacks how the two faculties (esoteric and temporal) contest with each other for supremacy. The actual situation in the play shows the second stage where all the potentialities of art and magic are fully explored. The third is the resolution

where this new force of art is abandoned and the protagonist will be devoting all his time and energy to the power of politics and its obligations.

Any useful reading of this play and its events has to take into consideration the fact that there is a correlation between the world of art and magic and that of politics. The two are inextricably united. It is noteworthy that for all the striking differences between the two worlds, there are some undeniable affinities between them. Both represent a point of conflict in the protagonist's mind. Also they reveal that Prospero is, essentially, not different from those whom he condemns, if we recall his treatment of the indigenous Caliban. The play does refer to the precarious position of the European in the colonies which will engage a wide-ranging position in contemporary postcolonial theory. Given this fact, the rest of the paper will point out how the topic of the esoteric and artistic underlies another equally influential side—politics and authority and their detrimental impact on people, including Prospero himself. Art and magic in Prospero's case can be a subversive force in his career as a ruler. Equally, it can be a potent force for subjecting others to his will as seen in Prospero's treatment of Ariel and Caliban. The inevitable conclusion is that any discussion of the world of art and magic brings with it the corollary of the temporal. Therefore, the postcolonial discourse is valid and helpful in understanding the intricacies of the world of ***The Tempest.***

In retrospect and in a series of monologues and dialogues, Prospero expounds the reasons of his bitterness and pain, telling Miranda, and the audience indirectly, about his incessant grief,

My brother, and thy uncle, call'd Antonio,--
I pray thee, mark me, that a brother should
Be so perfidious!--- he, whom next to thyself,
Of all the world I lov'd, and to him put
The manage of my state; as at that time
Through all the signiories it was the first,
And Prospero the prime duke, being so reputed
In dignity, and for the Libreral Arts
Without a parallel; those being all my study,
The government I cast upon my brother,
And to my state grew stranger, being transported
And rapt in secret studies. Thy false uncle--. (I.ii.66-76)

It transpires that Prospero has been subject to two equally potent powers of which he is unable to choose: the political and temporal on the one hand and the

artistic and magical on the other. Each contests for predominance and, obviously, Prospero surrenders to the allurement of the second, while the political wanes temporarily. As he rightly puts it,

I, thus neglecting worldly ends, all dedicated
To closeness and the bettering of my mind
With that which, but by being so retir'd,
O'er-priz'd all popular rate, in my false brother
Awak'd an evil nature; and my trust,
Like a great parent. Did beget of him
As falsehood in its contrary.(I.i.89-95)

For a monarch, to grow stranger to his state is unnatural, sacrilegious, a transgression against cosmic order of which both Prospero and Lear (echoed in "a great parent") are guilty.

Prospero explains the outstanding power of art in comparison with the temporal one be referring to the incredible sense of self-assertion fostered by art and magic. The boastful tone of the speech is self-evident and spares further comment,

Ye elves of hills, brooks, standing lakes and groves;
And yet that on the sands with printless foot
Do chase the ebbing Neptune, and do fly him
When he comes back; you semi-puppets that
By moonshine do the green sour ringlets make,
Whereof the ewe not bites; and you whose pastime
Is to make midnight mushrooms, that rejoice
To hear the solemn curfew, by whose aid---
Weak masters though ye be--- I have bedimm'd
The moontide sun, call'd forth the mutinous winds,
And 'twixt the green sea and the azur'd vault
Set roaring war.(V.i.33-44)

When we scrutinize the descriptions of the two powers linguistically, it turns out that the artistic had the upper hand. It has such an overwhelming authority that Prospero finds himself in its formidable grip. In other words, when Prospero was still in power, he has been of two minds as regards which one is the proper and convenient option. Prospero's pathetic failure to reconcile those

two has eventually led to his banishment and self-flagellation, though not full defeat.

What is striking in his moments of recapitulation is Prospero's belated realization that his studies of magic, no matter how useful and power-conferring they might be, are not worth the sacrifice and, at the end, it is better for him to get rid of their impact on him. Prospero is not a Faustus, nor is he meant to be. He never dreamt of entering into a pact with the devil to gratify illegitimate or evil intents. Nor would he use the newly-acquired power for hurting others unless it is necessary. It has to be emphasized that of all Shakespeare's plays this is the most Aristotelian, where he observes the Three Unities. The place does not undergo a change and the time is brought to a standstill. So the past is only recalled while the future is only conceptualized as the play ends and Prospero is about to embark to Naples. In other words, the author is content with narrating or telling the audience about the destabilizing and distracting effect of the pursuit of knowledge on his hero's position as a politician and ruler. The play shows and elaborates on the twists and turns of Prospero's capacity as a magician. Above all, Prospero is given a vantage-point for conceiving and assessing his magical and artistic faculty. We are to believe that even in his isolated island Prospero could manage to pursue such activities,

Gonzalo,

Out of his charity, who being then appointed

Master of this design, did give us, with

Rich garments linens, stuffs and necessaries...

Knowing I lov'd my books, he furnish'd me

From my own library with volumes that

I prize above my dukedom.(I.ii.161-67)

In this speech, Prospero informs the audience indirectly that he has opted for esoteric knowledge at the expense of his temporal duty as a duke. Accordingly, after mastering its mechanism and secrets, Prospero employs magic to redress former wrongdoing and control the wild beings serving him or intimidating him.

The sense of place here is vital in conveying the meanings of the play. Indeed, it turns into a means for typifying or reflecting the feelings, aspirations or conflicts of those perceiving it. For instance, Gonzalo, kind-hearted and generous as he is, finds the place as "an earthly paradise [where] a spiritual pilgrimage of some sort is going on" (Frye, 156). Gonzalo's own utopia can come true here, away from the stratagems and distractions of worldly affairs,

I ' th' commonwealth I would by contraries
Execute all things; for no kind of traffic
Would I admit; no name of magistrates;
Letters should not be known; riches, poverty,
And use of service, none; contract, succession,
Bourn, bound of land, tilth, vineyard, none;
No use of metal, corn, or wine, or oil;
No occupation; all men idle, all;
And women too, but innocent and pure. (II.i.143-51) (italics added)

What is noteworthy in this utopia is the verdict given on the necessity of banning all types of literature and arts. Gonzalo warns here against the drastic side-effects of the profession of art and learning that could lead to abject poverty, pain or even suicide. Indeed Prospero's current position in this dreary island is an irrefutable proof of the validity of Gonzalo's statement.

Conversely, Prospero (prior to his final epiphany and disillusionment), finds himself fully engrossed in its fascinating and exuberant world. The dialectic of gain and loss is evident here. If he has lost his dukedom as the aftermath of his artistic activities, he now reaps the fruits of his lifelong labor. This is felt through the attention the play pays to what is going on in that enchanted island and Prospero's treatment of his subjects. In fact Prospero's position and practices represent the core of the play's arguments. Prospero now rules by virtue of his esoteric powers. It is he who has done a spirit (Ariel) a valuable favor in setting him free from the pain the sorceress has inflicted upon him in tying him to a pine tree (I.ii.250-57). Ariel's ordeal springs from his failure to cope with Sycorax's black magic. Hence his temporary bondage to her till Prospero sets him free. Having done Ariel service, Prospero insists that Ariel serve him for a specific time and fulfill his whims and desires. It is in accordance with the terms of this agreement that the title of the play is unfurled: it is no more than the offshoot of the master-slave relation, where Prospero's enemies should be punished but not vanquished.

If we leave aside the Prospero-Ariel relationship which betrays an unmistakable power ideology, the Caliban-Prospero is more complicated and enhances the former relation. Caliban shares Ariel's dream of freedom and self-assertion in addition to being an aborigine. As such, Caliban's resentment is more formidable as he protests against the state of subjection to this alien, usurping power. Nietzsche reminds us that power "is fundamentally a matter of the imposition of some new pattern of ordering relations upon forces not previously subject to them" (Schacht, 418). That is what exactly happens to

Caliban, who finds himself doing manual work (piling logs) for his new master. Indeed, physical labor is conspicuous in this island where the very existence depends on it. As manifested in Ferdinand, Ariel and Caliban, it is evident that labor is of three types: "forced, contracted and volunteered" (Andreas, 194). Of course, the first type describes Caliban's case. Prospero himself recognizes the value of Caliban's contribution to his comfort when he states,

We can not miss him: he does make our fire,

Fetch in our wood,and serves in offices

That profit us. What,ho! Caliban

Thou earth, thou ! speak.(I.ii.311-15)

In his unenviable situation, when he is virtually lonely and helpless, Caliban has to smart under all types of pressures and humiliation. His resentment does not transcend the merely verbal level for he is the victim of his own deterministic lot. He can only come to terms with his own miserable situation as he is essentially "a goblin who must endure the punishment of rendering menial services to the king of the fairyland" (Campbell & Quinn, 857). Caliban's statement is cogent enough (the audience is invited to accept the flamboyant contradiction between the range of his mind and his physical build) as he wraps his statement in a postcolonial discourse,

This island's mine, by Sycorax my mother,

Which thou tak'st from me. When thou com'st first,

Thou stok'st me, and made much of me; wouldst give me

Water with berries in't; and teach me how

To name the bigger light. (I.ii.333-37)

When Miranda reminds Caliban of the valuable language she has taught him, his answer is blunt: a total disparagement of the whole enterprise that has been used as a means of subjecting his own will to the power of Miranda and her father, "You taught me language; and my profit on't/Is, I know how to curse. The red plague rid you/For learning me your language" (I.ii.364-6).The Prospero-Caliban relationship, then, represents fully the power and dominance conflict. If Prospero has been the victim of the treachery of a brother and a rival ruler, his position in the Mediterranean island virtually embodies what he has been grumbling about. Of course he has his own reasons for treating Caliban in this way. He has done his best to "incorporate Caliban into the new order of moral realities" (Traverris, 375). This nature-nurture relationship proves to of no avail, as Caliban can only react instinctively and reject all types of constraints imposed by civil conventions. Caliban's obsession is the fact that his master has decentre him from his former authority and privileges as he used to see himself "mine

own king" (I.ii.342). What Prospero could not grasp is that Caliban's conduct remains unpredictable and beyond his (Caliban's) own control. His other weakness is the bottle for which he surrenders everything, including his claims of the island. Failing to these factors into account, Prospero can only see in Caliban a totally hopeless case,

I have us'd thee

(Filth as thou art) with human care, and lodg'd thee

In mine own cell, till thou didst seek to

violate the honour of my child.(I.ii.344-47)

His belated perception of Caliban's character is indicative of the ever-growing chasm separating the dominant from the dominated,

This misshapen slave—

……..

this demi-devil

(For he's a bastard one)had plotted with them to take my life…

this thing of darkness.(V.i.268-75)

Foucault's account of the effect of power on individuals and objects holds true to Caliban's position, since the word 'subject' here has got anther connotation "subject to some one else by control and dependence, and tied to his own identity by a conscience or self-knowledge" (p.212). Foucault, of course, talks in general here but his findings apply to Caliban's pitiable position. Edward Said is no less outspoken in referring to this question as he regards Caliban "the excluded, that which is eternally below possibility [...], a state of existence which can be appropriated and exploited to the purposes of another's own development" (p.213). The direct corollary of Caliban's drastic state of bitterness and humiliation is the resistance; the flat rejection of anything offered by the powerful Prospero. His verbal assault against the tyranny of Prospero (the patriarch) is worth-mentioning,

As wicked dew as e'er my mother brush'd

With raven's feather from unwholesome fen

Drop on you both! A south-west blow on ye,

And blister you all o'er!(I.ii.321-24)

This adamant refusal to abide by the dictates of the dominant force drives Northrop Frye to hail Caliban's persistence and unmistakable sense of dignity, "No character in Shakespeare retains more dimity under so constant a stream of rebuke" (Sandler, 181). If he is not qualified to topple Prospero, he can at least persuade those who can (Stephano and Trinculo). Given all this rationale about

Caliban's critical situation, it is hard to share the view that his plot against Prospero simply suggests "greed and drunkenness...bestial, trivial, vulgar" (Knight, 259). Such a view is reductive and oversimplifies a very intricate and ramified topic as the one in question. If *The Tempest* is a text that explores the manifestations of power through politics or esoteric studies, Caliban is the unmistakable victim of this power. The linguistic discourse Caliban uses does not go in line with his physical status as a dog, sea monster or even a cannibal as critics often argue. This is the voice of protest and dissent against the power of magic practiced by Prospero for colonial purposes. Caliban can resist Prospero's oppressive force by this verbal and psychological resentment besides the perennial caution against any detrimental sense of self-defeat that might infiltrate into his consciousness. His weakness lies in his drinking bouts where he can temporarily be released from the oppressive power of the 'alien'. As regards his thwarted attempt to rape Miranda, this act can be considered as the only possible revenge he can have against Prospero, as she is his biological extension. He heartily wishes to have consummated this "Oho, Oho! Would't had been done! Thou didst prevent me; I had peopled else/This island with Calibans" (I.ii.350-52).Physically and psychologically, Caliban is out of place. He virtually remains the target Prospero's assaults, verbal and virtual. He remains "as strange as the anthropologist" (Bradbrook, 156).

For all his retarded nature, Caliban can instinctively identify Prospero's power as lying in his books and studies. This point needs further elaboration since both Prospero and Caliban have something to do with magic. Caliban, as the play is at pains to show, is the offspring of a witch. In other words he is closer to the primordial and dark type of magic. Prospero, in contrast, represents the artificial kind of magic which can be acquired by full indulgence in learning and books,

Remember

First to possess his books; for without them

He's but a sot, as I am, nor hath not

One spirit to command; they all do hate him

As rootedly as I. Burn but his books.

He has brave utensils,--for so he calls them,--

Which, when he has a house, he'll deck withal. (III.ii.89-95)

As seen in this expressive statement, Caliban identifies Prospero's secret of power and weakness: if he is stripped from this, he will be as weak as any of his subjects. This power proves to be no less binding than the temporal and political power. What is striking, however, is the fact that Prospero, who never stops

complaining about the injustice he has received from his kinsmen, turns out to be no less tyrannical and usurping by virtue of his newly acquired power. In this enchanted island, it is very easy to exchange the roles and the victim can become a persecutor. This process of transmutation is keenly felt in Prospero's dealings with his dependent subjects. Indeed Prospero does 'usurp' their own art and appropriates it for his own self-interests, especially that "of the figures of Sycorax, Setebos and Caliban himself" (Cartell, 65). Even his dearest daughter, Miranda, is not fully exempt from this overriding patriarchal spirit. Indeed she appears totally passive in her love affair with Ferdinand, thanks to Prospero's intervention. The fact of the matter is that if Caliban has aroused much critical controversy about the dominant-dominated relationship, Miranda's case is equally controversial. All her gestures, actions and discourse have been put to close scrutiny in order to pinpoint the vast panorama of persecution prevalent throughout the whole play. "Miranda", one of the critics asserts, is "the Anglo-Saxon European other—offers us a feminine trope of colonialism" (Donaldson, 68). Prospero purports that he acts in good faith, especially in dealing with Caliban: namely, ridding him of the state of primitiveness and animalism. However, as the action of the play shows, the real acts run counter to the professed intentions. It is really a fallacy, if one borrows the diction of New Criticism, to take for granted Prospero's statement. What is needed is a contrapuntal reading that perceives the hidden designs of hegemony and predominance. The indigenous will remain always objecting to any mode of living imposed by the other. If Prospero has been stripped of his political power, his esoteric one proves to be no less powerful in inflicting pains on those who happen to be under his control. Persecutor-victim is a point the play explores through the complex relation tying Prospero to others—his equals and subjects alike.

C. Concluding Remarks

Prospero is a good example of how two contradictory powers dwell within the same individual and can lead him in bifurcating and even contradictory routes. In general, Prospero, for all the similarities he has with his own creator, does not appear in a wholly favorable light. The esoteric power he has mastered by sheer personal effort and dedication reveals the other latent side in him—the failure to put in practice what he always reiterates about others' wrongdoing. The power of art, as we have seen, is no less effective than the temporal power. Nor is it less devastating to others as well as its practitioners. Prospero does exploit others and maltreats them. As such, he is not fit to be called "a religious recluse on the brink of magical power" (Knight, 1991: 115). What we have seen throughout the whole play is a parade of what learning and magic can offer or bring about. Prospero has subjected his traditional enemies—Alonso, Antonio,

Stephano—to a tantalizing and humiliating process in his revenge for former evils. Along with this justifiable act we notice that other innocent beings (the aborigines Ariel and Caliban) have been involved in this process in one way or another. Although their relationship with Prospero is more like a business deal, their situation, in the final analysis, suggests an unmistakable sense of bondage and servitude. His epiphany comes at last after gratifying his grudge and enjoying the privilege of being the supreme ruler, even though he has been stripped of the temporal power so far. The epilogue of the play is a synopsis of his long strife for power and supremacy which he is now ready to abandon willingly. If the present study has stressed the invaluable role of art and imagination in this play, its epilogue is the culmination of such a view. It is a metatheatrical speech in which the audience is invited to recall that the whole thing is make-believe. It is a fanciful act where the charms of the words and songs are dissipated and spectators are to remember that this imaginative work is a source of moral power and aesthetic pleasure, both for the performer and the recipient,

Now my charms are all o'erthrown,
And what strength I have's mine own
Which is most faint: now, 'tis true,
I must be here confin'd by you,
Or sent to Naples. Let me not,
Since I have my dukedom got,
And pardon'd the deceiver, dwell
In this bare island by your spell;
But release me from my bands
With the help of your good hands:
Gentle breath of yours my sails,
Must fill, or else my project fails, (V.i.1-11)

Surprisingly, his last call or request for the audience is to set him free. This freedom is not confined to Prospero in his long march to authority, whether by the sword or art. It is also applicable to the other dramatis personae that have to abide by the dramatic conventions. However his position is marked by a particularity in that he has been displaced from his temporal power by treachery and vile means. His current displacement from art and magic is achieved of his own accord and by deliberate intention. Its power is no longer tempting for the wise Prospero, who is on his way to be a full-fledged politician and ruler of Milan. His stay on the island has been an occasion for self-discovery and atonement for delegating his authority to others.

The disquieting effects of art and magic are over and Prospero's power as a politician is not questionable anymore. The reason for such a surmise is that he has weathered the storm of art and magic. From this moment on, he will be devoting his full time to the temporal power and its commitments in the same way he has done to art and magic. The political power he will wield once again is not going to be as challenging and worry-inspiring as it used to be because of the chastening power of art. Also his terrible experience of loneliness and self-encounter would be sustaining and helpful in his forthcoming experiences. His brother and the rival king would not be the same because of what they have witnessed and undergone. It is because of the purging impact of the island and its esoteric worlds that everybody is expected to start afresh. Hence Prospero's manipulation of his temporal authorities and responsibilities is expected to be smooth, easygoing and free from the previous restraints. One of the implausible situations in the play that entails further reference is that usually people hear about a former politician or ruler who has been toppled or has finally come to the realization that ruling is not worth the strife any more. Nevertheless, we have not come across such a term as 'a former artist ', because usually this faculty is part and parcel of man's emotional and psychological build and only death or old age can mitigate or put an end to it. Prospero abandons his artistic and magical activities at the time when he has full command of its mysteries and advantages. However in *The Tempest*, everything is possible and one has to make allowance for anything that could move beyond reason and common sense. It is once again a reminder that the two faculties of art and politics can not be mastered simultaneously and a difficult choice has to be taken about which one to follow. They are dismissive of each other simply because the former relies heavily on imagination and wishful thinking, while the other draws upon the pragmatic and practical; hence the impossibility of having full command of both or reaching a reconciliation between them.

The Tempest, then, manifests three stages of power. Only the middle stage (art and magic) is fully explored. It is through Prospero and his dominance of the island and its beings by his powerful magic that we realize what Jonathan Goldberg calls "the voicing of power" (p.133). What precedes this stage appears as no more than a shimmering recollection dimly perceived. Underneath there lies the recognition that there is an extent of self-blame in his neglect of his primary duty as a ruler. As regards the third stage, the epilogue of the play makes it clear that Prospero is on his way to be a successful ruler, having overcome the distracting impact of art and magic. The audience is left to guess what sort of power it might be. In both cases, the past and future, Prospero's position is not as lucid as it is in his current island adventures. These adventures and deeds are inextricably associated with the power of art. Prospero's final position concretizes Gonzalo's speech about the harmful or useless effects of art

and esoteric learning in man's life, let alone a politician's. The two forces neutralize each other and the inevitable consequence will be a drastic loss. The peace of mind and freedom can only be attained by the termination or suppression of the inner "tempests" in the Freudian sense. The play finally suggests that it is high time to be down-to-earth and face reality without illusions, self-deception or self-indulgence.

القوة السحرية والفنية مقابل القوة السياسية في مسرحية شكسبير "العاصفة"

صبار سلطان، قسم اللغة الإنجليزية وآدابها، جامعة الشرق الأوسط، عمان، الأردن.

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ملخص

يسعى البحث الحالي إلى اعتبار مسرحية شكسبير "العاصفة" بوصفها تنطوي على قوتين متكافئتين تتنازعان للسيطرة على ذهن الشخصية المحورية: السياسة من جهة والفن والسحر من جهة أخرى. يبدأ البحث بعرض موجز للمضامين المتباينة بل المتناقضة التي تضمها هذه المسرحية الخالدة. أما الجزء الثاني فهو المحور الرئيس إذ يركز على تمظهرات عالم الفن والسحر. والجزء الختامي استنتاج سريع يشرح الثنائية السياسية/الفنية ويؤكدها.

الكلمات الرئيسية: السياسة، الفن ، الخيال ، الدنيوي.

* **The paper was received on Nov. 11, 2009 and accepted for publication on April 19, 2010.**

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إسم المؤلف كاملاً: عنوان البحث، **إسم الدورية أو المجلة**، المجلد، العدد، السنة، الصفحة.

مثال:

سعيدان، أحمد سليم: "حول تعريب العلوم"، **مجلة مجمع اللغة العربية الأردني**، المجلد الأول، العدد الثاني، تموز 1978، ص101.

وتثبت في آخر البحث قائمة بالمصادر والمراجع التي اعتمدها الباحث في بحثه حسب التسلسل الألف بائي لاسم المؤلف العائلي، بحيث تذكر المراجع العربية أولاً ثم تليها المراجع الأجنبية.

الاشتراك في المجلة

الاشتراك السنوي للأفراد: ثلاثة دنانير داخل الأردن وسبعة دولارات أمريكية أو ما يعادلها خارج الأردن وللمؤسسات خمسة دنانير داخل الأردن وعشرة دولارات أمريكية أو ما يعادلها خارج الأردن.

مجلة اتحاد الجامعات العربية للآداب
مجلة علمية نصف سنوية محكّمة

القواعد الناظمة للمجلة

- **مجلة اتحاد الجامعات العربية للآداب** مجلة علمية نصف سنوية محكَمة معتمدة تصدر عن الجمعية العلمية لكليات الآداب في الجامعات الأعضاء في اتحاد الجامعات العربية.
- يقدم البحث للنشر باللغة العربية مع ملخص له باللغة الانجليزية، ويجوز أن يقدم بإحدى اللغتين الإنجليزية أو الفرنسية أو أية لغة أجنبية أخرى تتيسر طباعتها بموافقة هيئة التحرير مع تقديم ملخص له باللغة العربية.
- تنشر المجلة البحوث العلمية التي تتوافر فيها الأصالة والمنهجية العلمية والإحاطة والاستقصاء، والتي تراعى فيها الإشارات الدقيقة إلى المصادر والمراجع، ولم تقدم للنشر في أي مكان آخر، ويجوز نشر نقد متخصص أو مراجعة لأحد المؤلفات العلمية الصادرة في الوطن العربي أو خارجه بالإضافة لنشر تقارير عن الندوات والمؤتمرات التخصصية العربية والعالمية، وتعد البحوث التي تقبل للنشر بحوثاً معتمدة لأغراض الترقية.
- تعنى المجلة بنشر البحوث العلمية المقدمة إليها في مجالات الآداب واللغات والعلوم الاجتماعية والإنسانية والخدمة الاجتماعية والصحافة والإعلام.
- أن يكون البحث مرقوناً على الحاسوب وبمسافة مزدوجة بين السطور، وتقدم أربع نسخ منه مع قرص مرن قياس 3.5 انش، متوافق مع أنظمة (IBM (Ms Word.
- أن لا يزيد عدد صفحات البحث بما فيها الأشكال والرسوم والجداول والملاحق على ثلاثين صفحة.
- تعرض البحوث المقدمة للنشر في المجلة حال قبولها مبدئيا على محكمين اثنين في الأقل من ذوي الاختصاص، يتم اختيارهما بسرية مطلقة من رئيس التحرير.
- تحتفظ المجلة بحقها في الطلب من المؤلف أن يحذف أو يعيد صياغة بحثه أو أي جزء منه بما يتناسب وسياستها في النشر.
- تنتقل حقوق طبع البحث ونشره إلى المجلة عند إخطار صاحب البحث بقبول بحثه للنشر .
- لا تدفع المجلة مكافأة عن البحوث التي تنشر فيها.
- تهدي المجلة لمؤلف البحث بعد نشره نسخة العدد الذي نشر فيه.

تنضيد واخراج: مجدي الشناق



اتحاد الجامعات العربية



الجمعية العلمية لكليات الآداب

مجلة اتحاد الجامعات العربية

للآداب

مجلة علمية نصف سنوية محكّمة

تصدر عن الجمعية العلمية لكليات الآداب في الجامعات الأعضاء في اتحاد الجامعات العربية

المجلد السابع العدد الثاني 1431هـ/2010م